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Alban Berg's filmic music: intentions and extensions of the Film Music Interlude in the Opera Lula

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* * *

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ABSTRACT

The music composed to accompany the film in Berg's Opera Lulu—the “Film Music Interlude” (FMI)—is the subject of this study. Although this is film music, and Berg wrote his own Film Music Scenario, scholars have ignored writings about film theory and film music in their historical and analytical treatments of the FMI. How do writings about film theory and film music apply to the analysis and exploration of historical and social contexts of the FMI, and what musical and extramusical intentions and extensions can be drawn from the FMI?

Some answers come to light while exploring sources containing Berg’s correspondence with Schoenberg, Adorno, and Morgenstern as well as the biographies on Berg by Morgenstern and Erich Alban Berg. Other answers emerge through the analysis of filmic aspects of the FMI and from selecting and examining exceptional ideas found in writings about film theory and film music (from the early 1920s to 1937) as well as reviews about the FMI at the world premiere of the opera.

Chapter 1 provides a serial analysis of the FMI as a self-contained piece, focusing on the palindromic musical structure, Berg’s serial procedures and use of liquidation, and the dramatic meaning. Chapter 2 examines how Berg employs characteristically cinematic techniques (dissolves, wipes, and graphic matches) in the FMI’s music. Chapter 3 explores early writings about film theory and film music by, among others, Balázs, Musil, Arnheim, London, Schoenberg, and Adorno and how their ideas apply to the FMI. Chapter 4 investigates and presents for the first time translations of selected passages from the reviews of the 1937 premiere by, among others, David, List, Milhaud, Peyser, Reich, and Schuh.

Berg’s intellectual milieu included writers on film theory and film music and while composing the FMI he was interested in film and its potential for the New Music. The most important conclusions are that the FMI is filmic music, Berg employed an editing style for his putative montage, the FMI's fictional film can be classified as a crime film, and the FMI at its premiere received more positive and neutral reviews than negative ones.
INTRODUCTION

Don’t ask why all this time I never spoke.
Wordless am I,
and won’t say why.
And silence reigns because the bedrock broke.
No word redeems;
one only speaks in dreams.
A smiling sun the sleeper’s images evoke.
Time marches on;
the final difference is none.
The word expired when that world awoke.

--Karl Kraus, from his letter to Franz Janowitz

Alban Berg (1885-1935), one of the most important students of Arnold Schoenberg (1874-1951), composed music during the emergence of the greatest innovations in film history and the formative years of film theory. In the course of his musical output, Berg composed two works that are recognized as outstanding operas of the twentieth century: Wozzeck (which he completed in 1922) and Lulu (which he left incomplete when he died). In the score of the latter opera, between ii.1 and ii.2, Berg inserted the “Film Music Interlude” (henceforth, the FMI). The music was intended to accompany a silent film that continues the narrative of the opera, showing events that otherwise could not be shown onstage. He also wrote annotations in the score that indicate how the film’s images and actions correspond to the music. Another document, known as the “Film Music Scenario” (written in Berg’s hand) was inserted into the Particell (the short score) of the opera. The music composed to accompany the film--the FMI--is the subject of this study.

Aims and Directions of this Study

Although the FMI is film music, and Berg wrote his own Film Music Scenario, almost all scholars have ignored writings about film theory and film music in their analytical and historical

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1 Cited as “Kraus’s last poem,” dated 13 September 1933, in Harry Zohn, ed., In These Great Times: A Karl Kraus Reader, trans. Joseph Fabry, Max Knight, Karl F. Ross, and Harry Zohn (Montreal: Engendra Press, 1976), 259. The English version is a loosely poetic translation of the original: “Man fragt nicht, was all die Zeit ich machte. / Ich bleibe stumm; / und sage nicht warum. / Und Stille gibt es, da die Erde krachte. / Kein Wort, das traf; / man spricht nur aus dem Schlaf. / Und träumt von einer Sonne, welche lachte. / Es geht vorbei; / nachher war’s einerlei. / Das Wort entschlief, als jene Welt erwachte.” See also Caroline Kohn, Karl Kraus (Stuttgart, Germany: J. B. Metzlersche Verlagsbuchhandlung, 1966), 159-61.
treatments of the FMI. The aim of this study is to pursue answers to two main questions: how do writings about film theory and film music apply to the analysis and exploration of historical and social contexts of the FMI; and what musical and extramusical intentions and extensions can be drawn from the FMI? Concerning the latter question, the musical and extramusical intentions are choices made by the composer himself about the piece in relation to his interpretation. The musical and extramusical extensions refer to choices made by the composer himself about the piece in relation to other possible interpretations of it.

2 In “Film and Lulu” and “Film in Opera,” Norbert Weiss describes Berg’s use of film in his opera, the narrative function of the FMI, and the Film Music Scenario. Weiss is correct in that there is no evidence that Berg knew about the theoretical writings of film director and theoretician Vsevolod Pudovkin (1893-1953), but he is mistaken in his assumption that Berg did not know about Pudovkin or his work. Norbert Weiss, “Film and Lulu,” Opera 17, no. 9 (September 1966): 708. See also Norbert Weiss, “Film in der Oper,” Schweizerische Musikzeitung 106 (1966): 209 and “Film in Opera,” Opera Canada 9, no. 4 (1968): 17. In his letter to Soma Morgenstern, dated 27 November 1927, the composer asks, “Have you seen the film The Mother [Pudovkin’s Mat, 1926]? Since I did not see Potemkin, this is the most marvelous of all!!! Go [see it], no matter what!” (“Sahst Du die “Mutter” im Film? Nachdem ich Potemkin nicht sah: das herrlichste von allem!!! Geht unbedingt!”) Ingolf Schulte, ed., Soma Morgenstern, Alban Berg und seine Idole: Erinnerungen und Briefe (Lüneburg: Klampen Verlag, 1995), 196.

Dika Newlin contrasts narrative aspects of Berg’s opera to G. W. Pabst’s film Pandora’s Box (Die Büchse der Pandora, 1928). She remarks on the FMI and Berg’s use of film in the opera only at the very beginning of her essay. Newlin shifts attention to the star of Pabst’s film, Louise Brooks (1906-85), and she reflects on observations made of Brooks’s portrayal of Lulu by Lotte H. Eisner in her well-known monograph The Haunted Screen: Expressionism in the German Cinema and the Influence of Max Reinhardt. Newlin does not apply Eisner’s observations about German expressionist cinema to the FMI. And even though she focuses on Pabst’s film, which was released while Berg was still at the beginning of working on his second opera, Newlin never refers to writings about film that are contemporary to Berg. Dika Newlin, “Out of Pandora’s Box: How a Ziegfeld Girl Starred in a Silent Film of Lulu,” Opera News 41, no. 21 (April 2, 1977): 20.

The “Body Missing” website, affiliated with York University in Toronto, combines fact and fiction concerning the discovery of art that was lost during World War II. Curiously, Berg’s FMI and Film Music Scenario are also discussed. The website features artistically interwoven facts, fiction, and incorrect information about Berg’s FMI and Film Music Scenario. “Body Missing” [web site]; available from “http://www.yorku.ca/BodyMissing/index.html”; Internet, accessed on 1 August 2001, p. 1 of 1. See also ibid., “http://www.yorku.ca/BodyMissing/piano/lulu2.html”; Internet, accessed on 3 March 2001, p. 1 of 1. See Appendices C and G.

3 See Umberto Eco, The Role of the Reader: Exploration in the Semiotics of Texts, Advances in Semiotics (Bloomington: Indiana University Press, 1979; First Midland Book Edition, 1984), 14. Eco does not define extensions, but his chart on textual interpretation (Figure 0.3) connects extensions to the “first uncommitted references to a (possible) world” ([bracketed] extensions), “probability disjunctions and inferences” (forecasts and inferential walks), and “world matrices,
Characters, Plot, and Narrative: The FMI in the Opera Lulu

The characters involved in the FMI are Lulu, Dr. Schön, Alwa, Countess Geschwitz, the Athlete, and the Schoolboy. As with the rest of the opera, these characters are each represented musically by a unique serial row or trope (more will be discussed about character representation in the FMI in Chapter 1). Lulu is the central figure of the opera; all the others are but a few among many who are in love with her and become motivated by their love for her. Everyone who falls in love with her meets with certain doom.

Lulu’s past is never completely revealed in the opera. Since she was a teenager she had lived with Dr. Schön and his family. Dr. Schön, editor-in-chief of a well-known and influential newspaper, believes that he needs to marry a respectable woman from a good family and tells Lulu repeatedly that he will not marry her. In i.1, Lulu’s first husband, the Medical Specialist, drops dead after coming to believe she has been unfaithful to him with the Painter. In i.2 Dr. Schön arranges and finances the marriage between Lulu and the Painter in order to get her out of his life, but after the Painter realizes that Lulu does not love him he commits suicide. Lulu is incapable of feeling attraction to another with one exception: she thinks that she really loves Dr. Schön, and

assignment of truth values, judgments of accessibility among worlds, and recognition of prepositional attitudes” (world structures).

her pursuit to marry him occupies i.3. By the end of i.3, Dr. Schön gives in to his attraction to her and breaks off his engagement to a respectable lady to marry Lulu. In ii.1, Lulu is married to Dr. Schön and again lives in his house. Dr. Schön, who knows that giving in to Lulu dooms him, feels as though she drained life out of him as a snake does with its prey. Once he leaves, her admirers visit her.

These admirers include another father figure from the past, the asthmatic Schigolch, followed by the Athlete, the Schoolboy, and Countess Geschwitz. The Athlete, himself a Svengali character, desires to have Lulu star with him in his acrobatic performance. The Schoolboy, a character cut from the same mold as the truant students who are attracted to the showgirl Lola-Lola in Heinrich Mann’s novel Professor Unrath, wants to gawk at her. Countess Geschwitz, a wealthy noblewoman and a lesbian, desires Lulu both sexually and spiritually.

Then Dr. Schön’s son Alwa, a composer, enters. Because her visiting admirers believe that Alwa must be Dr. Schön, they hide when he comes to confess to her that he loves her. Dr. Schön quietly enters and overhears his son’s confession. Out of both rage and fear that Lulu is unfaithful to him and that his son, too, is to die because of her, he places a pistol into her hands and insists she kill herself. Instead, she struggles with him (either to escape or to gain control of the gun) and kills him with five shots from the pistol.

The FMI spans the time in the opera—a film between ii.1 and ii.2—in which Alwa is waiting for Lulu to come home from prison. The FMI is also located at the center of the three acts of the opera (without considering the Prologue). Alwa waits, devoted to his father prior to the FMI, and he waits, devoted to Lulu, after the FMI. In the film, Lulu endures her arrest, detainment, trial, sentence, imprisonment, illness, and hospitalization, and, finally, escapes from

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5 Treitler describes the change from the opera to the film, the concert hall to the cinema: “Such games of hopscotch between the stage and the world outside are characteristic features of expressionistic theatre and cinema— one thinks of the plays of Pirandello, The Cabinet of Dr. Caligari, moments in Marx Brothers films when Groucho turns his face straight into the camera and addresses the audience. But that is precisely what Berg’s device does.” Treitler, “The Lulu Character and the Character of Lulu,” 268.
prison. The Film Music Scenario, which will be discussed in detail in Chapter 2 (see Figure 2.1), shows the correspondence of scenes or events, actions, and images. In ii.2, Lulu returns to find that Alwa still loves her. Angered by her seemingly ill appearance, the Athlete (who wants her to be with him in his acrobatic act) threatens to turn Lulu in to the police. In iii.1, after fleeing to Paris, Lulu receives a proposal from the Marquis in a casino room. He wants her to join his brothel in Cairo. When she refuses, he threatens to turn her in to the police and leaves. The Athlete finds Lulu and makes the same threat unless she gives him money. After he leaves, Lulu tells Schigolch about the Athlete’s threats and together they decide to get Countess Geschwitz to lure the Athlete to Schigolch’s lodgings so that Schigolch can push him out a window to his death. The plan works. Meanwhile, the Marquis returns to the casino with the police in search of Lulu. But Lulu and Alwa escape, fleeing to London without any money. In iii.2, Lulu prostitutes herself in the London streets and brings her clients to an attic. Her first client, the Professor (the same performer who portrayed the Medical Specialist), has no money. It seems that she lets him take advantage of her. He leaves, passing Alwa and Schigolch in hiding. Countess Geschwitz arrives with an old portrait of Lulu; treating the portrait as a spiritual icon, she nails it to the wall. Lulu appears with her second client, the Negro (the same performer who portrayed the Painter). They argue about the payment and Alwa defends her, but the Negro delivers a fatal blow to Alwa’s head and leaves. As a response, Lulu rushes out for her next client. Schigolch hides Alwa’s body and leaves for a pub. Left alone, Countess Geschwitz stares at Lulu’s portrait and contemplates suicide. Lulu returns with her third client, Jack the Ripper (the same performer who portrayed Dr. Schön) and they go into the adjoining room. A moment later, Jack stabs Lulu, whose death screams make Countess Geschwitz rush to the room. As she approaches the door, Jack stabs her, washes his hands, and leaves her to die. Alone again on stage, Countess Geschwitz sings her Liebestod to the portrait of Lulu--her angel--and dies.
The film not only represents what happens to Lulu within the context of the opera; it also can be viewed as a silent short film about what happens to her character through her own ordeal. Lulu goes from her arrest and detainment to her trial. There, the weapon is shown to the jury. Once the verdict is given, Lulu collapses. She is then transported by police vehicle to prison, where she serves a one-and-a-half year sentence. At the beginning of her sentence, she exhibits resignation. By the end of it, she has clearly overcome her resignation and experiences an awakened will to live. But then she takes ill with cholera and gets transported to the hospital. There, medical doctors and their students as well as nurses treat her more like a patient than a prisoner as she becomes more ill. Then she changes places with Countess Geschwitz, who stays in the isolation ward in the hospital while Lulu escapes on foot. Lulu’s replacement by Countess Geschwitz at the hospital is a turning point for Countess Geschwitz, who from now on is willing to risk her life and commit crimes out of love and desire for Lulu.

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6 Jarman provides a brief synopsis of the FMI’s film content: “A tumultuous, flickering orchestral interlude accompanies a silent film depicting, in its first half, Lulu’s arrest, trial, sentence, and imprisonment. The second half of the film depicts the means of her escape from prison: her catching cholera from Countess Geschwitz, her transfer to the isolation hospital, and the substitution of the Countess for Lulu. Both the music and the accompanying film have a palindromic structure (the music running backwards from the middle, while the sequence of shots in the second half of the film corresponds to those in the first in reverse order) as a symbol of this crucial turning point in Lulu's career and in the opera itself. Much of the music of the following scene repeats that of the previous scene in slow motion.” Douglas Jarman, Alban Berg: “Lulu,” Cambridge Opera Handbooks (Cambridge and New York: Cambridge University Press, 1991), 33.

7 In ii.2 Alwa is still waiting for Lulu at his father’s house, while Athlete awaits Schigolch to take Countess Geschwitz to the isolation ward to replace Lulu. But the film audience had just seen this part of the opera in the film. One can only wonder why Berg chose to have this kind of narrative repetition. George Perle has pointed it out as one of several discrepancies in the work as it was left by Berg at his death, which might lead to the assumption that perhaps Berg made a mistake and would have corrected it had he not died before. George Perle, “Lulu,” vol. 2 of The Operas of Alban Berg (Berkeley, Los Angeles, and London: University of California Press, 1985), 156. A different perspective, though also speculative, is offered here: this narrative repetition resembles a flashback or a jump-cut as found in film. In this situation, a previous event is repeated perhaps for symbolic reasons or to reveal a different perspective on the event. Louis Giannetti defines the flashback as “an editing technique that suggests the interruption of the present by a shot or series of shots representing the past” and the jump-cut as “an abrupt transition between shots, sometimes deliberate, which is disorienting in terms of continuity of space and time.” Louis Giannetti, Understanding Movies, 7th ed. (Upper Saddle River, N.J.: Prentice Hall, 1996), 509 and 511.
The History of the FMI

The FMI’s history is intertwined with the histories of the entire opera, the score, the Film Music Scenario, and the Lulu Suite (also known as Symphonic Pieces from the Opera Lulu). The history of the opera (too dense to cover in this brief section), along with chronologies, is told in many writings about Lulu. It is difficult to determine when Berg decided to place a film within the opera because of lack of documentation. It seems possible to divide the composition of Lulu into two periods: the first dates from 17 July 1927 to the end of summer 1929; and the second from the end of summer 1929 to his death on 23/24 December 1935 (he did not complete the orchestration.

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9 The first production to have used a film as a kind of connecting thread to tie Wedekind’s Lulu plays (Ergeist and Die Büchse der Pandora) together was under Otto Falckenberg and took place in Munich on 26 November 1928 (the same year as Pabst’s film Die Büchse der Pandora and when Berg was pulling together Wedekind’s Lulu plays for his opera.) Bryan R. Simms, “Berg’s Lulu and Theatre of the 1920s,” Cambridge Opera Journal 6 (1994): 157-58. The Falckenberg production was extremely successful and well known. But Simms can only go as far to explain that Berg “almost certainly knew first hand” about this production, and it is not known if Berg attended a performance of this production or if he read about it. Ibid., 152 and 157-58. Simms explains, “in its general conception as well as in numerous dramaturgical details, Berg’s Lulu is clearly indebted to Falckenberg’s.” Ibid., 152-53. But before this production, as Simms points out, Berg had originally rejected the idea of employing both film and jazz in opera in general. Ibid., 153-54. Though Berg also placed the film at the center of his opera, there seem to be some differences in the use of film from the Falckenberg production. Berg never suggested the use of still projections for his opera, but the Falckenberg production used still projections from Frans Masereel’s anthology Bilder der Großstadt (published in 1926 in Dresden): “The pictures . . . present caricatures of city life in the 1920s, carefully chosen by Falckenberg not only to fill in the narrative but also to reinforce the sachlich ambience of the production.” Ibid., 155. See also Jarman, Alban Berg: “Lulu,” 20, and Karl Neumann, “Wedekind and Berg’s Lulu,” Music Review 35 (February 1974): 47-57.
of Act III). The Particell was completed in May 1934. According to Perle, Berg began work on the scoring of the opera only after he completed the Particell. The five sections of the Lulu Suite were the first sections of the opera to be orchestrated; these are the Rondo (from ii.1 and ii.2), Ostinato (the FMI or orchestral interlude between ii.1 and ii.2), Lied der Lulu (from ii.1), Variations (from iii.1, the orchestral interlude between iii.1 and iii.2), and Adagio (the final Grave in iii.2).}


11 Headlam, The Music of Alban Berg, 307. Hall’s research most strongly supports her attributions of dates for Berg’s progress with ii. She discusses the letter to Schönberg dated 7 August 1930, in which Berg described the idea of the FMI, its symmetrical structure, and its narrative function: “The orchestral interlude, which in my version bridges the gap between the last act of Erdgeist and the first of Büchse der Pandora, is also the focal point for the whole tragedy and--after the ascent of the opening acts (or scenes)--the descent in the following scenes marks the beginning of the retrograde. . . .” Hall, A View of Berg’s “Lulu” through the Autograph Scores, 61. Hall quotes the translation in Juliane Brand, Christopher Hailey, and Donald Harris, eds., The Berg-Schoenberg Correspondence (London: Macmillan, 1987), 406. But she also states that there are no documents from the fall 1932 to 1933 that provide clues of his progress. Hall, A View of Berg’s “Lulu” through the Autograph Scores, 54. It is therefore not clear when particular passages of the FMI were composed; in November 1933 he bought the Waldhaus and completed composition for ii during his stay there from May to just before 15 September the same year. Ibid., 55. Hall discusses letters sent to Schoenberg and Webern about his progress with ii.1 and ii.2. In a letter to Schoenberg, dated 26 August 1932, Berg complains that he is still working on Act II. On 26 August 1933 Berg complains about not yet completing this act, but on 15 September he writes that he had finished it. See also Rosemary Hilmar, Katalog der Schriftstücke von der Hand Alban Bergs, der fremdschriftlichen und gedruckten Dokumente zur Lebensgeschichte und zu seinem Werk, Alban Berg Studien, vol. 1/2 (Vienna: Universal Edition, 1985), 33.


13 There is no date given for the sketches that include the canons for the Ostinato in the Lulu Suite or for the FMI. See Rosemary Hilmar, Katalog der Musikhandschriften, Schriften und Studien Alban Bergs im Fond Alban Berg und der weiteren handschriftlichen Quellen im Besitz der Österreichischen Nationalbibliothek, Alban Berg Studien, vol. 1 (Vienna: Universal Edition), 32 and 35. See also Hall, A View of Berg’s “Lulu” through the Autograph Scores, 59. Jarman explains that the FMI underwent few changes in connection with inclusion in the Lulu Suite: “All that was necessary to
**Berg’s Intellectual Milieu and the Motion Picture**

There are few documents written by Berg about the FMI or the Film Music Scenario. These documents are found mostly in letters from the composer (for example, to Schoenberg dated 7 August 1930 with a chart of the succession of scenes in *Lulu* and to Webern dated May 1934) that contained descriptions of its placement in the center of the opera, the narrative function of the film within the opera, and the contents of the film. And even though there is no document known to reveal Berg's thoughts about composing the FMI, the influences on his FMI, or writing his own Film Music Scenario, there are several sources that provide many letters about films from Berg to his teacher Schoenberg, his student Theodor Wiesengrund Adorno (1903-69), and his friend Soma Morgenstern (1891-1976). This section will deal with excerpts from these letters and with passages from biographies on Berg by Erich Alban Berg and Morgenstern. Most of these sources either date from the late 1920s to early 1930s or provide recollections of Berg around the time he worked on *Lulu*. Not only do they show that Berg enjoyed both silent and sound film; they also provide a glimpse of Berg's favorite films, his interest in filmmaking, and his willingness to compose film music.

Erich Alban Berg recalled his uncle attending several Viennese cinemas that showed American as well as European films, and that his uncle “could laugh wholeheartedly at the convert the manuscript of the *Ostinato* Film Music interlude at the center of Act II, for example, was to cover the opening page of the original manuscript (that is to say [mm.] 1-6 of the *Ostinato* of the *Symphonic Pieces*, which do not appear in the opera) with a new sheet of manuscript on which were written mm. 652-55 of Act II. Once this new lead into the Film Music from Act II, sc. I, and a similar lead out of the interlude of the interlude into Act II, sc. II, had been arranged, the manuscript of the *Ostinato* of the *Symphonic Pieces* could be inserted in its entirety into the full opera.” Jarman, *Alban Berg: “Lulu,”* 126-27. Headlam quotes a passage from a letter written by Berg to Hans Heinsheimer (1900-    ) on 28 June 1934: “A description of the Film Music will not be printed in the score [of the Suite]. The music of this piece, without an explanation, will operate like a second movement or scherzo. It is clear, however, that something about the text must be put into a program book. When I am finished with the score of the Symphonic Pieces, I will write something, or suggest that [Willi] Reich write something which could be used for a program book or blurb. . . .” Headlam, “The Musical Language of the Symphonic Pieces from *Lulu,*” 23.
Berg also mentioned films to Schoenberg in their correspondence and discussed the potential of films for the New Music. Excerpts from these letters will be dealt with in greater detail in Chapter 3. In a letter to Schoenberg dated 18 May 1930 Berg praised Op. 34, *Begleitungsmusik zu einer Lichtspielszene (Drohende Gefahr, Angst, Katastrophe)* (Accompaniment to a Cinematographic Scene [Threatening Danger, Fear, Catastrophe]), followed by his strongest remark in favor of the talking film and his recommendation to go see the German film *The Blue Angel* (Der blaue Engel, 1930): “. . . I have long been absolutely convinced of a great future for the talking film (also in connection with our music). Speaking of which, have you seen the latest Jannings film: *The Blue Angel*? If not, be sure to go see it! . . .”

Berg at one time could have had an offer to compose music for the film based on Theodor Storm’s *The White Horserider* (Der Schimmelreiter, released in 1934). Adorno mentioned the possible film music opportunity in a letter to Berg. It appears that Berg turned it down. Erich Alban Berg mentioned the possibility of Berg working on composing music to a film some time around 1933 or 1934: “He has the following plans for the near future: a third string quartet, a chamber  

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15 Brand, Hailey, and Harris, eds., *The Berg-Schoenberg Correspondence*, 402. Both Berg and Schoenberg enjoyed performances by the famous actor Emil Jannings.


17 According to Morgenstern, Berg told him, “Dr. Wiesengrund-Adorno asked for me: I should come to Frankfurt and compose music for a film on Storm’s *Schimmelreiter*. I did not go, of course, and neither do I want to compose any music for a film. . . .” (“Dr. Wiesengrund-Adorno forderte mich auf, ich soll nach Frankfurt kommen und Musik für einen Film über Storms *Schimmelreiter* komponieren. Ich bin natürlich nicht hingesfahren, und ich will auch keine Musik schreiben für einen Film. . . .”) Ibid., 378. See also ibid., 364.
music [work] with piano, a symphony, a work for radio, and one for sound film.”

Berg's interest in film is documented in a letter to Adorno dated 18 November 1933: “I am tremendously interested in the 'sound film' and I hope that my next work will be one. Perhaps it is possible [that] somewhere there is a fool who will want to make [one] with me, to be precise, as I want it.”

Berg wrote about the film music opportunity, perhaps for the last time, to Adorno in a picture postcard dated 12 December 1933: “. . . I heard from Zillig that you helped him to get the Schimmelreiter. That is very welcome news and is certain to turn out marvelously.” (“hab ich von Zillig gehört, daß Sie ihm zum Schimmelreiter verholfen haben. Das ist sehr erfreulich u. ist sicher famos ausgefallen.”) Ibid., 291. See also Ibid., 290. The film Der Schimmelreiter was also known as The Rider of the White Horse. Winfried Zillig (1905-63) composed the music to this film, which was directed by Hans Deppe and Curt Oertel. In the same year another film, Johanna, The Black Hunter (Schwarzer Jäger Johanna), also featured Zillig’s music. Zillig was Schönberg’s student, and Berg and Zillig were good friends. Zillig composed music to several more films. See Konrad Vogelsang, Filmmusik im Dritten Reich: Eine Dokumentation, vol. 2, Reihe Musikwissenschaft, vol. 4 (Pfaffenweiler, Germany: Centaurus-Verlaggesellschaft, 1993), 191 and 203. Der Schimmelreiter, a film based on Storm’s novella, was produced by R. Fritsch-Tonfilm Production GmbH. Ibid., 52. See also Anon. Internet Movie Database (IMDb), “Winfried Zillig.” “http://us.imdb.com/Name?Zillig, +Winfried”; Internet; accessed on 2 September 2001, p. 1 of 2. Information courtesy of The Internet Movie Database (“http://www.imdb.com”). Used with permission.
PART ONE: ANALYSIS OF THE FILM MUSIC INTERLUDE AND FILMIC ASPECTS

CHAPTER 1

THE MUSICAL STRUCTURE AND BERG’S COMPOSITIONAL TECHNIQUES

We are always trying to separate content from form, and forget that the content is the form itself, that which is made of the substance through the medium of the artist.

--From Dr. Heinrich Jalowetz’s speech at Alban Berg’s fiftieth birthday celebration in Vienna

The purpose of this chapter is to show the FMI as a unity: a self-contained, coherent piece. The first part discusses the palindromic musical structure of the FMI and Berg’s serial procedures. The second part discusses the dramatic meaning of the FMI in connection to its palindromic musical structure, nesting frames, character representation, and continuity.

The Palindromic Structure

The FMI has a palindromic musical structure on many levels, governing many dimensions and categories of detail. The music has six main sections delineated by changes of tempo: Tumultuoso, Agitato, Sempre vivace, Sempre agitato, Vivace, and Tumultuoso. The order and the internal correspondence of these six tempo indications provide the framework for most discussions of the FMI’s symmetrical structure in this chapter. Figure 1.1 shows how Berg divides the FMI’s 63 measures into main sections (and shorter passages) by indicating tempo changes.

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FIGURE 1.1: The pattern of Berg's designations of measures as passages with tempo indications.

The first three main sections (*Tumultuoso*, *Agitato*, and *Sempre vivace*) begin prior to m. 687, the fermata in that measure serving as central axis, and the last three main sections (*Vivace*, *Sempre agitato*, and *Vivace*) begin after m. 687. Berg creates an almost perfectly symmetrical pattern of measures employed for the six tempo-defined sections (the central axis in m. 687 is excluded). The 31½ measures on each side of the fermata, however, are distributed in a slightly different manner. Because of the tempo inflections (e.g., *ritardando* and *poco a poco animato*), there are discrepancies between notated and performed times of corresponding sections.

### Serial Procedures and How They Fit into the Palindromic Structure

In the FMI Berg employs row materials of six characters from the opera: Lulu (also known from the literature as the Basic Series or BS), Alwa, Dr. Schön, Countess Geschwitz, the Athlete, and the Schoolboy. All of these rows are originally derived from Lulu's row materials.

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and are distinct because of their intervallic properties. The most important row materials (Lulu, Alwa, and Dr. Schön) will be discussed here.

**EXAMPLES 1.1a-c**: The $P_0$ Forms ($C=0$) of a. Lulu; b. Alwa; and c. Dr. Schön.

There are two basic ways in which Berg employs a character’s row in *Lulu*: linear (melodic) and vertical (harmonic). In general, when a character has an important role in the action of the FMI, and in the work as a whole, Berg tends to employ a linear presentation of that character’s row. That particular row becomes part of the melodic foreground. The melodic presentation is more noticeable than any other kind of treatment of a character’s row. The first complete presentation of each character’s row is almost always marked *Hauptstimme*.³ Berg makes

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³ The *Hauptstimme*, a term Berg takes from Schoenberg, is the principal or main voice. It is supposed to be the prominent voice that is heard in the music. Having more than one instrumental or vocal part marked *Hauptstimme* or *Nebenstimme* in a musical passage is also common. Both the *Hauptstimme* and *Nebenstimme* can be performed by one instrument or a group of instruments and then transferred to another instrument or another group of instruments. Dashed lines in the score indicate this kind of shift in voicing. The effect ranges from subtle coloristic changes of timbre to the *Hauptstimme* or *Nebenstimme* to extremely conspicuous changes of instrumental texture. Berg employs *Hauptstimme* symmetrically in most instrumental parts, but there are a few instances of asymmetry: the passages marked *Hauptstimme* in ob. 1-3 (mm. 661-662 with no later corresponding passage and mm. 711-716 with no earlier corresponding passage), bass clarinet (mm. 656-657 with no later corresponding passage), contrabassoon (mm. 656-657 and 658-659 with no later corresponding passage), horns 1-2 and 3-4 (m. 716 and mm. 716-717 respectively with no earlier corresponding passages), trumpet 1 (m. 717 with no earlier corresponding passage),
sure that the melodic row gets a clear presentation before he decides to use it with more freedom. After the first distinct presentation of a character’s row Berg often proceeds by subjecting the row to liquidation. Liquidation is the progressive shortening of row or motivic material. Schoenberg defined liquidation as a compositional technique akin to development and variation that “. . . gradually eliminat[es] characteristic features, until only uncharacteristic ones remain, which no longer demand a continuation. Often only residues remain, which have little in common with the basic motive. . . .”5 Fragments of a character’s row, after the first complete presentation, can be repeated again and again. In the later corresponding passage, as expected, the fragments precede the clearest presentations of the characters’ rows, thus making it more difficult to find the characters’ rows in the score when they are presented the second time. A character contributing less to the action may be represented by a more vertical presentation of his or her row. In this kind of presentation, Berg stacks the row material into harmonies. In general, a character is trombone 3 (mm. 717-718 with no earlier corresponding passage), tuba (mm. 715-716 with no earlier corresponding passage), and vibraphone (mm. 674-678[?] with no earlier corresponding passage). The brackets here indicate that this is the assumed measure where the Hauptstimme or Nebenstimme indications should end. The Nebenstimme, which will be discussed later in this chapter, is the secondary or next most important voice. All uses of Nebenstimme are symmetrical: oboe 3=English horn (mm. 675-677[?] and 697-700), trombones 1-3 (mm. 685-686 and 688-689), keyboard (mm. 670-672, 672-673, 673-674, 674-677[?], 697-700, 700-701, 701-702, 702-703, and 703-704), violin 1 (mm. 673 and 701), violin 2 (mm. 672 and 702), viola (mm. 670, 671-672, 702-703, and 704), violoncello 1 and violoncello in divisi (mm. 670-671 and 703-704), and contrabass (mm. 673-674 and 700-701).

4 Theodor Adorno describes Berg’s use of liquidation as being essential to his compositional technique: “He fused the art of thematic manipulation, of strict motivic economy, which he had acquired under Schoenberg’s tutelage, with the principle of continuous transition. His music cultivates a favorite technique, a remnant [ein Rest] is retained, ever smaller, until finally only a vanishingly small vestige remains; not only does the theme establish its own insubstantiality, but the formal interrelationships between successive sections are woven together with infinitesimal care. . . . One can illustrate this Bergian manner--manner in the larger sense of Mannerism--with the children’s game in which the word “Kapuziner” is disassembled and put back together again: Kapuziner--Apuziner--Uuziner--Ziner--Iner--Er--R; R--Er--R--Iner--Ziner--Uuziner--Puziner--Apuziner--Kapuziner. That is how he composed, that is how all of his music plays in a Capuchin tomb of whimsy, and his development was essentially a development toward the spiritualization of that manner. . . .” Theodor Adorno, Alban Berg: Master of the Smallest Link, trans. and with an intro. by Juliane Brand and Christopher Hailey (Cambridge: Cambridge University Press, 1991), 3-4.

less clearly represented when his or her row materials are stacked, since this obscures the order
of pitches that make up his or her row. Berg allows himself more compositional freedom,
furthermore, when he deals with the vertical presentations of row material: when Berg employs a
vertical presentation of a character’s row, he becomes more interested in motivic resemblance than
in a literal utterance of a character’s row.

The most effective example of Berg’s treatment of Lulu’s row is the passage that bridges
the first half of the FMI and the second in Example 1.2a. Recall that the central axis of the FMI is
the fermata in m. 687. At this very moment, it seems that Berg tips his hand, enabling anyone
interested in his treatment of Lulu’s row to observe him manipulate her row. In mm. 685-686 the
trombones play Lulu’s P_{11} row. On the other side of the fermata, in mm. 688-689, the passage is
reflected as Lulu’s R_{11} row, also in the trombones. Not only is there registral invariance for which
Schoenberg and his students were renowned, Berg also employs textural and dynamic invariance
to reinforce the palindromic structure. Berg uses every pitch in Lulu’s I_{7} row for the chords played
by the trumpets in m. 685 and again, as R_{I_{7}} in m. 689. There are no changes in register, texture, or
dynamics. In m. 689 the gesture, with material only from Lulu’s R_{I_{7}} row, is fully contained.

These four chords consist of three pitches each. Every P or I row form before m. 687 will have its

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These four chords consist of three pitches each. Every P or I row form before m. 687 will have its
corresponding R or RI afterwards. In mm. 686-687 the horns, bass clarinet, and clarinets play
chords derived from all the material of Lulu’s I_{5} row. This initial gesture continues beyond the
central axis by having the last pitches of the row held by the clarinets. The R_{I_{5}} form of Lulu’s row,
as expected, is played on the other side of the fermata. The two directly opposing gestures actually
overlap at the central axis by a sixteenth note.
EXAMPLE 1.2a: The FMI, mm. 685-690. (EXAMPLE continued)
Reflections around the central axis of even smaller gestures take place in m. 687, as shown in Example 1.2b. There are also voice exchanges found between the trombones in mm. 685-686 and the piano in m. 687 and between the French horns in m. 686 and the solo violoncello in m. 687.

EXAMPLE 1.2b: The FMI, mm. 685-687 (vocal score).

The ascending arpeggiation of the piano before the fermata is derived from Lulu’s R11 row. The descending arpeggiation that completes the gesture is derived from P11. In mm. 686-688 the string parts provide more information about Berg’s treatment of Lulu’s row in the vicinity of the central axis. There are two linear presentations of fragments presented forward and in retrograde. The first begins with the violoncello 1 solo in mm. 686-687. The second appears in retrograde in the violoncello 2 solo’s answer in mm. 687-688. The fragments of the initial gesture and its answer could be derived from Lulu’s R11 or RI11 rows. The second begins with the violin 1 solo in m. 687, answered in retrograde after the fermata by the violin 2 solo. The initial gesture could be derived from Lulu’s R11 or RI5 rows. These two gestures found in the string parts reveal that Berg enjoys playing with invariance between the two rows. Such invariant row segments are the sources of

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6 “When we listen to twelve-tone music, we don’t need to be able to identify the forms of the series. Instead, we need to hear the musical consequences of the series, the musical results of its
many of the melodies, ostinatos, and harmonies in the FMI. For instance, the stacked pitches in the woodwinds, harp, piano, and strings beginning in m. 689 can be from either Lulu’s \( P_5 \) or \( R_5 \) row. Following along in the piano’s part one can find two ostinatos at m. 690, then one ostinato for a couple more measures. This kind of mirror-retrograde is the kind of compositional technique that can make itself clear only retrospectively, and one must, as it were, hear the FMI from the fermata of m. 687—the central axis—out in both directions to grasp this.

The FMI begins with a trumpet fanfare. Example 1.3 shows mm. 656-657, a more complicated melodic treatment of a character’s row with minimal variation and liquidation. Here, at the very beginning of the FMI, marked “Verwandlung (Filmmusik),” is a trumpet fanfare, which accompanies the linear presentations of Alwa’s \( P_2 \) row. The trumpet fanfare incorporates the material from Alwa’s row, partitioned trichordally, in retrograde. To create the fanfare harmonies, Berg stacks the notes from Alwa’s row and makes a small adjustment by reversing the order of the first and last notes: B-flat and G. He also doubles this linear presentation of Alwa’s row in the strings, bassoons, alto saxophone, and bass clarinet. In the analogous passage, located in mm. 717-718, it appears that the composer decided that to hear the same material as a fanfare again would be hackneyed. Rather than literally retrograding Alwa’s \( P_2 \) row, a slightly reordered

ongoing transformations. Any musical quality or relationship preserved when the series is transformed is called an invariant. As we hear our way through a piece, our ear is often led via a chain of invariants.” Joseph N. Straus, Introduction to Post-Tonal Theory (Englewood Cliffs, N.J.: Prentice Hall, 2000), 157.

Most instruments are employed symmetrically so that they occur in parallel passages relating to the fermata or central axis at m. 687. There are, however, a few noticeable exceptions. For instance, horns 1-4 play at the end of the FMI, in mm. 716-718, but not at the beginning; likewise, trumpets 2 and 3 play towards the end, in mm. 711-715, but are not employed in the earlier corresponding passage prior to the central axis; the crash cymbal plays only in mm. 656-658; and violin 1-2 and violoncello 1-2 solos, in m. 687 and mm. 685-690 respectively, are also employed asymmetrically. Berg employs the woodwinds (mm. 656-665, 670-704, and 709-718), brass (mm. 656-663, 674-700, and 711-718), harp/keyboard (mm. 656-718), and strings (mm. 656-718) symmetrically. He almost employs the percussion (mm. 656-681, 687, and 694-715) symmetrically as well.

It is difficult to find demonstrable symmetries or asymmetries in the dynamics of the FMI as it would be for any symphonic piece. The most noticeable asymmetrical use of dynamics is the dynamics marking \( f \) at the beginning of the FMI in contrast to the diminuendo from \( mf \) to the final \( pp \) at the end.
EXAMPLE 1.3: The FMI, mm. 656-658.
version of \( P_4 \) presents a figure derived from the fanfare in the clarinets and flutes while the trumpets present Alwa’s \( R_2 \) melodically.

Ostinatos, which dominate the melodic foreground in several places, are the result of a combination of linear presentations (melodic treatment) and fragmentations (liquidation). There is an ostinato that can be identified with Dr. Schön’s character. It can be found first just before Dr. Schön’s \( P_4 \) in the bassoon (see Example 1.4). The ostinato, in the piano, viola, and violoncello (along with two notes in the contrabass), consists of four notes derived from this row in the following order: E, A, B-flat, and E-flat.\(^8\) The ostinato is first marked as *Nebenstimme*, and it gains the status as the *Hauptstimme* in mm. 674-675 (see Example 1.5). In the analogous passage, mm. 699-704 (not shown), the ostinato remains a *Nebenstimme* throughout the second presentation of the passage.

The strongest way Berg alludes to Lulu is when he employs full presentations of her row marked *Hauptstimme* in the *Agitato*. This is at the moment in the *Agitato* when the texture changes (see Example 1.4).\(^9\) In m. 670, clarinet 1 enters with a full presentation of Lulu’s \( P_4 \) row.

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\(^8\) Previous scholarship labels this ostinato as the *Erdegeist* fourths or the *Erdegeist* theme and show how the ostinato is derived from Lulu’s (or the Basic Series) row material. I prefer labeling this ostinato differently, as Dr. Schön’s ostinato, for numerous reasons. In the FMI, the four notes behave not as a theme and not as a motive, but simply as an ostinato: a way of recalling Dr. Schön in the FMI after he dies or a way of showing that Lulu still thinks of him throughout the FMI. When Dr. Schön dies in ii.1, just before the FMI, Douglas Jarman has explained that his death is “symbolized by the absorption of his series into the basic series of the opera.” Douglas Jarman, *The Music of Alban Berg* (Berkeley and Los Angeles: University of California Press, 1979), 225. See also ibid., 144. And though it is well known that Dr. Schön’s row material (as with the row materials of every character in this opera) is based on Lulu’s row material, showing this absorption gives the ostinato more meaning in the FMI. The *Erdegeist* fourths can still be considered a motive to help the audience relate to earlier music, but this perspective ignores certain psychological connotations of this ostinato. For instance, “the weapon,” which clearly alludes to Dr. Schön’s murder accompanies this ostinato in mm. 674-675. See David John Headlam, “The Musical Language of the Symphonic Pieces from *Lulu*,” Ph.D. dissertation, University of Michigan, 1985, 173.

\(^9\) In his graph showing character representation and row material used in the FMI, in “The Film Interlude of *Lulu*,” Perle includes the characters’ names as their row material appears in the music, but he does not indicate every instance of a character’s row in the FMI. Perle does not identify Lulu in the measures of his graph that correspond to the *Agitato*; in his analysis, it seems implicit that Lulu’s row material is exploited in the passages where he does not choose to indicate the presence of Lulu in the music. George Perle, “The Film Interlude of *Lulu*,” *The International Alban Berg Society Newsletter* 11 (Spring 1982): 3-5. In his 1985 monograph Perle omits this graph and
EXAMPLE 1.4: The FMI, mm. 670-671.

does not add any further discussion about his earlier analysis of the FMI.
EXAMPLE 1.5: The FMI, mm. 674-676.
The fragments of Lulu’s P₄ row that follow, for instance in mm. 670-671, are no longer juxtaposed against full linear presentations of the row. Dr. Schön’s row material dominates this part of the Agitato. Hence, the first 8 measures of the Agitato are dominated by Lulu and the second 8 are dominated by Dr. Schön and vice versa for the Sempre agitato.

The FMI resembles a series of many nesting frame-like sections. The boundaries between the FMI and the rest of the opera are the two Tumultuoso sections (mm. 656-718). These form the largest frame, which contains the second largest frame--between the beginning and ending of the Agitato and Sempre Agitato (mm. 663-712), which contains the pitch climax--and the smallest frame formed by the Sempre vivace and Vivace (mm. 678-696) that contains the fermata, the gestural climax. Issues about the FMI’s musical structure and its hierarchies beg to question the dramatic meaning of the FMI, which will be dealt with in the next section.

**Dramatic Meaning**

One may think of the FMI as a kind of orchestral interlude that departs and returns to Alwa, who shifts his loyalty to Lulu within the one-year-and-a-half duration that the film and the FMI represent. At the very beginning of the FMI, in the first Tumultuoso, in mm. 656-657 (see Example 1.3) the first Hauptstimme of the woodwind countermelody begins on the pitch D. D is also the final note of the latter Tumultuoso, m. 718, marking the end of the FMI. This pitch also serves as the first pitch of the next gesture, in mm. 719-721, which is the transition between ii.1 and ii.2 of the opera. In m. 687, the piano’s arpeggiation begins on D, ascends a major seventh to D-flat, and then descends back to D (see Example 1.2a). The gesture may assert D as the pitch

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10 The preceding and succeeding Curtain Music, discussed in detail in Chapter 2, might also be considered as parts of these boundaries.

11 George Perle points out the momentary presence of the Signal Motive, the A-flat to the D-flat (then D-flat to A-flat) at the fermata. The Signal Motive is associated with the ringing of a doorbell. The use of the doorbell in this opera is similar to the telephone ringing in Arnold Schoenberg’s opera *Von Heute auf Morgen*, Op. 32 (1928/1929). The ringing appears in highly climactic moments of the opera to add to the anticipation of what might follow. See George Perle, “Lulu,” vol. 2 of *The Operas of Alban Berg* (Berkeley: University of California Press, 1990), 91-93. Despite this observation, it serves more as Augenmusik in the vibraphone and piano in the FMI. The musical notes are recognized visually, they are symbolic because the fermata can be perceived
that receives priority over other pitches at that particular moment, but the D-flat, which is the climax of this gesture, is held at the fermata and challenges the salience of D.\textsuperscript{12}

The opening and closing pitch for the \textit{Agitato} and the \textit{Sempre agitato}, respectively, is C. In the \textit{Agitato}, C begins the gestures of all the voices playing in this section. In m. 664 C-sharp begins the next group of gestures. After this group of gestures, another group begins on E in m. 666, then F-sharp in m. 667, and E in m. 670. In the second half of the \textit{Agitato}, starting in m. 670, Dr Schön’s ostinato always begins on E and ends on E-flat. The opposite takes place in the \textit{Sempre agitato}. The departure and return of D, for instance, without implying D as a pitch center in any neo-tonal sense, are a kind of structural gesture that gives the FMI a point of reference and a referential frame. By observing the larger picture and its relationship to the nested pictures within, one discovers that although a pattern of pitch class salience corroborates the dramatic narrative to a certain extent, certain musical spans are governed primarily by characters rather than by pitch structures.\textsuperscript{13}

An analysis of contour and gesture in the \textit{Agitato} and \textit{Sempre agitato} sections reveals some connections between the FMI, narrative, and motivic use of forms of Lulu’s row and their linear shape. The \textit{Agitato} consists entirely of linear presentations and fragmentations of Lulu’s row material. A contour analysis of the first part of the \textit{Agitato} reveals how Berg’s use of contour is connected to the FMI’s structural and foreground elements. Individual melodic lines clearly as a revolving door, but at this moment no doorbell rings or should be recalled. The music moves too quickly to be thought of as the same motive heard earlier in the opera.

\textsuperscript{12} For thorough discussions of Berg’s use of pitch centers (in particular D) both generally and more specifically in the FMI, see Headlam, \textit{The Music of Alban Berg}, 5, 97, and 292-94.

\textsuperscript{13} Prolongation is “a connection between a particular pitch and its duplicate later in time, identified by a dotted slur or dashed beam. . . .” Mark DeVoto, “Schenker Analysis,” \textit{The New Harvard Dictionary of Music}, ed. Don Michael Randel (Cambridge, Mass. and London: The Belknap Press of Harvard University Press, 1986), 732. See Joseph N. Straus, “The Problem of Prolongation in Post-Tonal Music,” \textit{Journal of Music Theory} 31, no. 1 (Spring 1987): 1-21. This essay presents theoretical and analytical objections to earlier attempts to extend Heinrich Schenker’s notion of prolongation to parts of the post-tonal repertoire, including the music of Berg. Since this essay appeared, it has been difficult to discuss prolongation of notes in post-tonal music. However, one can still discuss the prolongation of a gesture or, as in the FMI or the opera as a whole, that of a character and the character’s row material.
exhibit an ascending contour from the start of the FMI until the very end of m. 667 (see Example 1.6). A descending contour begins in this measure. Where Lulu’s music begins, in the \textit{Agitato}, according to the annotations in the score, Lulu experiences “hope for an acquittal” and then “diminishing hope.” Lulu’s hope ascends, reaches a climax, and then descends. Similarly, in the analogous passage in m. 707, the climax follows the annotation “growing hope” found at the end of m. 705. The annotation that follows this climax at the end of m. 707 in the score, “she becomes more ill” (“in nervous expectation” in the Film Music Scenario, see Figure 2.1), accompanies the descending contour in the harp, piano, and strings.

The most important of Berg’s rhythmic materials used in the FMI is the \textit{Hauptrhythmus}.\footnote{The \textit{Hauptrhythmus} is also known as the “fate rhythm.” Berg, however, labels the \textit{Hauptrhythmen} in his score and therefore \textit{Hauptrhythmus} is more commonly used in current literature on the opera.} The \textit{Hauptrhythmus} is a kind of head motive that, in \textit{Lulu}, recurs from time to time throughout the opera and is often associated with fate or destiny (of a character’s impending doom, exhibiting a rhythm for the downward spiral to doom in Lulu’s world) and foreshadows upcoming events.\footnote{See Headlam, \textit{The Music of Alban Berg}, 310; Perle, “\textit{Lulu},” 209-15 and 220; and Jarman, \textit{The Music of Alban Berg}, 212-15.} It is also a dramatic device Berg uses for the purpose of continuity, closely bound to the downward spiral as part of the \textit{Weltanschauung} of the opera. The \textit{Hauptrhythmus} (long, long, short, long) can be presented in a staccato version, with rests between the attack points.\footnote{For a brief discussion identifying the use of \textit{Hauptrhythmen} in the FMI, see Perle, “The Film Interlude of \textit{Lulu},” 5-7, and Perle, “\textit{Lulu},” 155 and 207. See also Headlam, \textit{The Music of Alban Berg}, 309. Headlam discusses Berg’s rhythmic and serial procedures in much greater depth.} The use of \textit{Hauptrhythmen} is symmetrical in the FMI in respect to its central axis, the fermata. The \textit{Hauptrhythmen} are employed in the vibraphone and strings in m. 680 (see Example 1.7) and its corresponding passage, m. 694. They appear after “the police vehicle” and before “the ambulance (stretcher).” There are also unmarked \textit{Hauptrhythmen} that can be found in the score, as found in violin 1 and violin 2 in the same passages. Rather than being accentuated by the vibraphone, the
EXAMPLE 1.6: The FMI, mm. 666-667.
EXAMPLE 1.7: The FMI, mm. 680-681.
violins help to sustain the vibraphone. The *Hauptrhythmen*, in addition to Berg’s use of serial materials and character representation, not only contribute to the dramatic meaning of the FMI; they also preserve the continuity of the FMI.

**Conclusions**

By presenting an analysis of the musical structure and character representation, this chapter offered both an aural and visual orientation for understanding Berg’s FMI. Though serial analysis and motivic analysis—as well as the analysis of character representation presented here—show how the FMI is connected to the opera as a whole, the analysis in this chapter supports the idea that the FMI should also be considered as a self-contained piece. From this perspective, motivic analysis can be misleading: it reveals connections to the opera, but often ignores the dramatic (or cinematic) action of the FMI. More profound levels of understanding the FMI are achieved through serial analysis and character representation while taking into account the relationship between the FMI’s music, its visual appearance, and the images and actions that appear onscreen. Berg’s use of musical structure and compositional technique as employed in the FMI can be found in other parts of the opera. It can also be found in all his serial works. The next chapter offers an analysis that shows what makes the FMI, in particular, filmic music.

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18 In a conversation on 8 November 2000, Professor Headlam (Eastman School of Music) explained his idea of how the serial techniques (row materials and rhythmic materials) and character representation employed in the *Lyric* Suite (a love song to Hanna), and as extension in the Violin Concerto, resemble those of the FMI. These serial works can be approached as music representing films featuring fictional or realistic characters. In both works, the rows representing the characters (in particular Alban Berg and Hanna Fuchs) also fade in, fade out, and experience liquidation and fragmentation. In the *Lyric* Suite as well as the FMI, there is the extraction of four notes from a row to create a recurring melodic gesture (in the FMI it is Dr. Schön’s ostinato or fate motive and in the *Lyric* Suite it is <A, B-flat, B, F>, the latter standing for Alban Berg-Hanna Fuchs). Headlam also pointed out that the eight remaining notes of the row in the FMI represent “neutered” characters, whereas in the *Lyric* Suite they become residue or accompaniment to the four notes of the melodic gesture.
CHAPTER 2

FILMIC ASPECTS, BERG’S FILM, AND REPRESENTATION OF CHARACTERS:
IDEAS DRAWN FROM THE ANALYSIS

Just as silence can be forced to become part of the music it surrounds, so
occasionally the extremes of a composition become separated from the body of the work
in such a way that they act as what we might call internal frames.
--Edward T. Cone, Musical Form and Musical Performance

The FMI accompanies Berg’s film in the opera Lulu and has (unsurprisingly) its own
filmic aspects. These filmic aspects involve Berg’s annotations in the score and his Film Music
Scenario and their connection to the sounds and appearance of the music and its performance.
This chapter will identify the filmic aspects of the FMI and show how they are part of its musical
structure (on the surface and on deeper levels) and of its content. By exploring the filmic aspects of
the FMI, one can draw some conclusions about the kind of motion picture Berg had in mind and
the composer’s putative montage, and gain additional understanding of the musical and filmic
representation of characters.

Establishing Shots and Editing Styles

Two documents, the score and the Film Music Scenario, show the order of events that
take place in the film. Figure 2.1 provides an English translation of the Film Music Scenario. In
the Film Music Scenario, the dashed line between the police vehicle and the ambulance and the
line dividing the left and right side of the document approximate Berg’s own indications. The
silent film begins in m. 656. One reads downward along the left hand side until m. 687, where the

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2 “Filmic”: “Of or pertaining to cinematography; suggestive of the cinema.” Oxford English
Dictionary.

3 Montage can be defined as a sequence of shots of a film, which have been edited, often to
condense the real time that the film images imply. See Louis Giannetti, Understanding Movies, 7th
word ‘montage’ also means the art of editing.
### FIGURE 2.1: The Film Music Scenario.

<table>
<thead>
<tr>
<th>Measure</th>
<th>Event</th>
<th>Measure</th>
<th>Event</th>
</tr>
</thead>
<tbody>
<tr>
<td>651</td>
<td>End of Act I</td>
<td>Curtain</td>
<td>Beginning of Act II</td>
</tr>
<tr>
<td>654/55</td>
<td>Falls</td>
<td>Inside Alwa</td>
<td>Inside Alwa</td>
</tr>
<tr>
<td>656</td>
<td>Arrest (the 3 participants) Geschwitz Schoolboy Rodrigo (the 3 participants)</td>
<td>Geschwitz On route to find Liberation</td>
<td>718</td>
</tr>
<tr>
<td>661</td>
<td>In chains</td>
<td>At liberty (as Geschwitz)</td>
<td></td>
</tr>
<tr>
<td>663</td>
<td>Detention</td>
<td>In the Isolation ward</td>
<td></td>
</tr>
<tr>
<td>664</td>
<td>In nervous expectation</td>
<td>In nervous expectation</td>
<td></td>
</tr>
<tr>
<td>668</td>
<td>Dwindling hope</td>
<td>Growing hope</td>
<td></td>
</tr>
<tr>
<td>670</td>
<td>Trial (the 5 witnesses)</td>
<td>(5 helpers) Consultation</td>
<td></td>
</tr>
<tr>
<td>672-77</td>
<td>The offense—Revolver (Judge, jury) (Doctors and Students)</td>
<td>Illness (Instrument)</td>
<td></td>
</tr>
<tr>
<td>677</td>
<td>The verdict (conspiracy for her liberation)</td>
<td>696</td>
<td></td>
</tr>
<tr>
<td>678/79</td>
<td>Collapse</td>
<td>To the doctor (In hospital)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Police vehicle</td>
<td>Ambulance (stretcher)</td>
<td></td>
</tr>
<tr>
<td>680</td>
<td>In Prison</td>
<td>In Prison</td>
<td></td>
</tr>
<tr>
<td>683</td>
<td>(the door closes)</td>
<td>(the door opens)</td>
<td></td>
</tr>
<tr>
<td>685/86</td>
<td>Resignation</td>
<td>Awakening will to live</td>
<td></td>
</tr>
<tr>
<td>687</td>
<td>Her shadow on the wall (like the picture)</td>
<td>Her image in the muck shovel (which the female warden brings)</td>
<td></td>
</tr>
</tbody>
</table>

The sequence of the filmed events corresponding to the symmetrical course of the music is likewise to run in a quasi-forward and retrograde progression, wherein corresponding occurrences and associated phenomena are to be matched with one another as closely as possible. In addition to the above congruencies (placed side by side) of this sort (in the large: trial—medical consultation—detention—Isolation ward, etc.), also those of a lesser and the least sort: for instance, revolver—stethoscope (hypodermic syringe), bullets and phials, generally legal—medical parallels, §§ and caducums, chains—bandages, prison clothes—hospital clothes. Likewise personal congruencies: judge and jury, medical staff and students, police—nurses.

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\[ \text{prison and hospital corridors} \]
fermata is, and then proceeds to the second m. 687 indicated on the right. From here, one reads up on the right until the film's end in m. 718.

On the left and right sides of the Film Music Scenario, Berg underlines words that represent scenes in which the events take place: “arrest,” “detention,” “trial,” “prison”--“one-year-and-a-half”--“prison,” “consultation,” “isolation ward,” and “liberation.” Is Berg suggesting establishing shots–long shots or extreme long shots that would enable the audience to better understand the context and content of events or scenes–with these underlined words? Such establishing (and reestablishing) shots would be extremely useful for maintaining the fluidity of the film's narrative.

Beyond these underlined words and the possibility of establishing shots raised by the FMI, there is no evidence that supports the idea that Berg had certain camera shots in mind. Nevertheless, from the annotations in the score and the Film Music Scenario, one can still limit the number of possible camera shots that could be used for filming some objects. For instance, camera shots that show Lulu’s emotional states can only be close-ups or extreme close-ups: because of the audience’s need to see Lulu’s facial expressions (even more so than her hands) in these shots, long or even medium shots are much less likely to be what Berg desired. Other illustrations are the individual camera shots of the police vehicle, the ambulance, and the witnesses. All three of these shots seem to require medium or long shots because close-up shots would not give the audience enough information about what is taking place in the film. There is a good deal of evidence from the annotations in the score and the Film Music Scenario; and educated guesses can help fill gaps in drawing conclusions about Berg’s (putative) editing style.

Table 2.1 presents three styles of filmmaking and several kinds of editing styles used in films produced during Berg’s life. The classification, definitions, and examples of these editing

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4 The word “Curtain” is also underlined and might be also perceived as a scene of its own, though the FMI actually begins in m. 656.
TABLE 2.1: Editing styles present in films during the early twentieth century.

<table>
<thead>
<tr>
<th>REALISM</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Sequence Shots:</strong></td>
<td>Short events that are photographed as one long shot in a single take containing no editing. The duration of the events together is equal to the duration of the shot.</td>
</tr>
<tr>
<td><strong>Cutting to Continuity:</strong></td>
<td>An editing style that employs shots that are arranged to preserve the fluidity of an action without showing all of it. This editing style employs a logical condensation of the action with no confusing breaks.</td>
</tr>
<tr>
<td>Example:</td>
<td>Georges Méliès, <em>Le voyage dans la lune (The Trip to the Moon)</em>, France, 1902.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>CLASSICISM</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Classical Cutting:</strong></td>
<td>An editing style in which a sequence of shots is determined by a scene’s dramatic emotional emphasis rather than by physical action alone. The sequence of shots represents the breakdown of the event into its psychological as well as logical components.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>FORMALISM</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Thematic Montage:</strong></td>
<td>An editing style employing separate shots that are linked together not by their literal continuity in reality, but by symbolic association. Shots are connected in accordance to the filmmaker’s thesis.</td>
</tr>
<tr>
<td><strong>Abstract Cutting:</strong></td>
<td>A purely formalistic editing style that employs a sequence of shots that is totally divorced from any recognizable subject matter or content.</td>
</tr>
</tbody>
</table>

styles come from Louis Giannetti’s monograph *Understanding Movies*. The successful films given as examples for each editing style in Table 2.1 show that these editing styles were potentially available to Berg. Because of the FMI’s linear, thematic narrative, the only two editing styles

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appropriate are Cutting to Continuity and Classical Cutting. Sequence Shots, an editing style used in the earliest film, cannot be applied to the FMI because the underlined situations in the Film Music Scenario (see Figure 2.1) correspond to chronologically non-contiguous scenes, suggesting editorial cuts. Too much time has been condensed for the action to be depicted without using more sophisticated techniques. Abstract Cutting and Thematic Montage are also not possible because Berg's film cannot be divorced from its recognizable linear narrative. The Film Music Scenario and the annotations in the score show that there are cause and effect connections between scenes, events, images, and actions. The events in the FMI proceed in a logical sequence within condensed time: the omitted moments of action do not hinder perception of the continuity of the film. All of these characteristics are important elements of Cutting to Continuity. Berg's film also contains some instances of Classical Cutting, most notably his indications for Lulu's emotional expressions that take over the \textit{mise-en-scène} several times in the film. These indications are found in mm. 664 ("in nervous expectation"), 668 ("dwindling hope"), 683 ("resignation"), 690/91 ("awakening will to live"), 705 ("growing hope"), and 707 ("in nervous expectation"). All of these reactions are results of preceding stimuli, but are not necessary for maintaining the film's narrative.

A technique borrowed from Classical Cutting is the graphic match. The graphic match is created when the filmmaker connects two adjacent or almost adjacent shots by graphic similarities. These graphic similarities can be the shapes, colors or tones, speed or direction of movements, and other visual connections shared by the filmed images. In mm. 686-688, already shown in Example 1.2a, there is an implied graphic match near the fermata in m. 687. It appears that Berg uses Lulu's shadow on the wall followed closely by Lulu's image in the muck shovel to represent

not only a passage of time, but also to draw a connection between these shots. This technique will be further explored later in this chapter.

The FMI consists of many paired events that are to be presented so as to create a mirror-like palindromic structure in order that the listening audience can comprehend the connections of pairs both visually and aurally. Though the FMI’s scenes, events, images, and actions are paired within this palindromic structure creating parallel connections, they take place at separate times and do not suggest cross cutting or parallel editing. According to Berg’s annotations in the score and Film Music Scenario, the FMI does not contain any instances of simultaneous time. Although musical passages that accompany paired events recur as expected, they are changed the second time in that they are retrogrades of their first statements. There is no shifting of musical passages or events from their logical places in order to help increase the sense of time or to create simultaneous time.

The lack of parallel events makes it difficult to conclude that Berg’s putative montage relies on Classical Cutting alone; more likely the FMI’s montage possesses the editing style of Cutting to Continuity in combination with elements of Classical Cutting. The logical, straightforward narrative provided by the annotations in the score and the Film Music Scenario is prominent and is seasoned with extra psychological intensity by highlighting Lulu’s emotional states at certain moments in the film and in the music (thus implying close-ups).

Exploring the establishing shots in the FMI reveals how important a scene-by-scene or shot-by-shot analysis is to the understanding of the FMI’s filmic aspects and putative montage. The annotations in the score and the Film Music Scenario suggest what the composer wanted to

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7The use of paired events should not be confused with the film term “parallel events.” According to Giannetti, in film parallel events, which are used in Classical Cutting, are two or more different events that take place at the same time. Shots of these different events are connected through cross cutting in order to create a sense of spontaneous time: separate places, same time, moving from one scene to another to impose continuity. See Giannetti, Understanding Movies, 139-40
happen in the film on a scene-by-scene or shot-by-shot-level. The rest of this chapter will deal with framing techniques and editing devices in the FMI.

**Fades, Dissolves, and Graphic Matches**

Both fades and dissolves are framing techniques and editing devices that make an image appear or disappear gradually onscreen. They are used for joining two shots together without creating the rapidly occurring visual line that is made by a simple cut. Two kinds of fades in film are the fade-out and the fade-in. Both involve the black screen, but work in opposite ways. Giannetti defines the fade-out as “the snuffing of an image from normal brightness to a black screen”; the fade-in is the opposite: the image emerges gradually from black screen to normal brightness. The dissolve, also called a lap dissolve, is a kind of fade that differs from other fades in that it involves previously occurring and newly occurring filmed images and not the black screen. Giannetti perceives the dissolve as possessing both fade-out and fade-in functions. He defines the dissolve as “the slow fading out of one shot and the gradual fading in of its successor, with a superimposition of images, usually at the midpoint.”

In the FMI’s film, there are few logical places for fades and dissolves to occur. Fades and dissolves could be used to connect every pair of shots or scenes in this film, but this would diminish the effectiveness of these techniques by over-using them. This short film, which lasts for less than 2 minutes and 48 seconds, would go by too quickly to be effective if every scene were connected by fade-outs or fade-ins. Berg’s annotations and certain changes in the FMI’s musical surface might suggest that the use of fades and dissolves in the film should be as content-driven and connected to the music as possible. This section will explore these places in which fades and dissolves can be used effectively in the FMI.

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8 The smallest unit of film, the frame, is unable to be interpreted at all by the audience and is therefore less structurally important than the scene or shot.


10 Ibid., 508.
There are two passages of Curtain Music in the FMI: the first occurs at the beginning and the second occurs at the end. The FMI’s first Curtain Music, mm. 652-655, is shown in Example 2.1. Based on the fading ostinatos and the annotations in the score, one might expect that the music would accompany the closing of the curtain, followed by the black screen and then the first image of the film in normal brightness. The curtain closes, somehow the screen comes down onto the stage, and then the curtain opens just enough to show the screen (see Figure 2.1). The passage accompanying the curtain begins with the crescendo and is followed by a decrescendo (see Example 2.1). The part of the passage marked decrescendo contains fading ostinatos. The fading ostinatos possess an action that seems both to accompany and to oppose the first action of the camera: the music would fade as the first image emerges from black screen. The image could emerge suddenly or it could gradually come into view, but the music seems strongly suggestive of the latter. But while the ostinatos of the first Curtain Music fade out the onscreen image could surely be expected to fade in. Both media would fade, but in opposite directions.

The second Curtain Music, mm. 719-721 in Example 2.2, possesses the same fading ostinatos as the first in retrograde. From the fading ostinatos and the annotations in the score, it seems that the music might accompany the end of the film, a black screen, and the opening of the curtain. The end of the film, perhaps a black screen, accompanied by the very beginning of the second Curtain Music, would follow either the last image of the film or would occur gradually as the last image gradually fades out. A fade-out in the film at this moment would be analogous to the fade-in accompanied by the first Curtain Music. This time both media would fade out together.
EXAMPLE 2.1: The FMI, mm. 652-655.

EXAMPLE 2.2: The FMI, mm. 719-721.

A fade would also be appropriate at the central fermata in m. 687 (see Examples 1.2a and 1.2b). The fade could be inserted between two shots (Lulu’s “shadow on the wall” and “her image in the muck shovel”) that appear to form a graphic match. The fade-out followed by the fade-in would be perceived as connecting the most important pillar of the FMI’s structure to its two subordinate but still very important pillars: the FMI’s extremes, its beginning and ending. At the same time, the fade-out fade-in at the fermata would run in opposite directions to the fade-in at the beginning of the film and the fade-out at the end. Then again, the fermata would signify the end of the first half followed by the beginning of the second and is also the mirror axis of the FMI. The fade-out then fade-in at the fermata would also seem to occur in almost the opposite direction of the attack and decay of the instruments. A black screen interrupting the implied graphic match would represent the one-year-and-a-half period of Lulu in prison perhaps better than an uninterrupted slow dissolve because of these connections and oppositions. Nevertheless, an uninterrupted slow dissolve is also possible here and could be used as a framing technique at the fermata because the connection between the fermata and the extremes would still be understood. The images that would be used in the dissolve would be Lulu’s “shadow on the wall” followed by “her image in a muck shovel.” The shots of the images would be expected to overlap exactly at the fermata, forming a graphic match. The latter-mentioned image would emerge most clearly (with the absence of the superimposition of the previous image) in m. 688, where the annotation indicating this image takes place. As with the fade (in this case, fade-out and then fade-in), the dissolve is a useful framing technique for signifying either Berg’s “absolute standstill” or the passage of time.11

The pair of passages with the annotations prison “doors close” and prison “door opens”/“in the hospital,” in mm. 680-683 and mm. 694-695, respectively, provides two more possible

11 The attack and decay of instruments in mm. 685-89 is most clearly executed and presented on the recordings of the FMI in Berg, Lulu, Danish R. S. O., Schirmer, Chandos compact disc CHAN9540 and in Berg, Lulu Suite, London Symphony Orchestra, Dorati, Mercury Living Presence compact disc 432 006-2.
places for dissolves. After the prison “doors close,” there could be a dissolve connecting the shot of the prison “doors close” and the shot of Lulu’s “resignation.” Another dissolve could take place after the prison door opens in mm. 694-695, connecting the shots of the open prison door and the ambulance. Both dissolves would signify not only the passing of time, but also that the audience would be going through the closed doors to see what happens to Lulu next.

Finally, two other possible places for either dissolves or fades would be accompanied by musical passages in mm. 662-663 and mm. 711-712. These passages have the annotations “detention” and “at liberty (as Geschwitz),” respectively. The “arrest” might take place in an entirely separate location from the “detention.” A dissolve here would indicate that time had passed (Lulu travels with the police to her “detention” before the “trial”) and that she is now in a new place. The following scenes, “detention,” “trial,” and “prison,” could take place in the same building and might be most closely connected. Cuts indicating shorter passages of time could be used between detention and trial and between trial and imprisonment. Lulu’s “deliverance,” disguised as Geschwitz, appears to be a situation entirely separate from the previous scenes, “prison,” “medical consultation,” and “isolation ward.” A dissolve between the “isolation ward” and “deliverance” scenes would suggest a passage of time and that Lulu is now in an entirely different situation: she can return to her other star vehicle, the opera.

**Rhythmic Matches**

The rhythmic match, which barely received attention in new introductions to film studies, is a framing technique and editing device that is similar to the graphic match. Instead of making the connection between two or more shots or sequences of shots via graphic similarities, the connection is made via durational and content (often graphic, symbolic, or both) similarities. Shots in the rhythmic match do not have to be adjacent, but it is important that they be close together: shots occupying the same real-time duration might not be perceivable as parts of a rhythmic match if they are too far removed from one another in time. The rhythmic match does not require at least one dissolve or involve superimposing images. The rhythmic match must rely
on content similarities in order to be immediately perceived; film audiences do not connect two
noncontiguous shots simply because they occupy identical durations in real time. The analysis of
rhythmic matches might be more implicit and perceived only after analysis than immediately
explicit through film viewing.

Figure 2.2 shows how an analysis of rhythmic matches in the FMI can be enlightening
(the bold lines represent establishing shots and where the rhythmic matches begin and end).
Deeper connections can be revealed through this kind of analysis, but one must keep in mind that
the FMI has an extremely brief duration considering its content, which is divided into 27 shots.
Each shot occupies from ½ to 5½ measures of music, and the larger differences are proportionally
significant. The larger differences between durations of shots are found between Lulu’s “arrest”
and her being bound “in chains” (a difference of 4 measures), Lulu’s “image in the muck shovel”
and then her “awakening will to live” (3½ measures), her “awakening will to live” and the
“hospital doors open”/“in the hospital” (4½ measures), her “gradual success” and her “medical
examination” (3½ measures), her “medical examination” and being “really ill” (3½ measures),
and finally Lulu “at liberty (as Geschwitz)” and the appearance of “the helpers” (4 measures).

Figure 2.2 shows that there are several rhythmic matches in the FMI. The key to
rhythmic match analysis of the FMI is that these rhythmic matches are not between shots, but
between sequences of shots. For instance, the sequence of shots consisting of Lulu’s “detention,”
“hope for acquittal,” and then “dwindling hope” is the same duration as the sequence of shots
consisting of Lulu in the “isolation ward,” “her growing hope,” and her being “treated more as a
patient than prisoner.” Notice also that the rhythmic match can be made between sequences
without having corresponding shots of the same duration on the left and right side of Figure 2.2.

The next rhythmic match shown in Figure 2.2 concerns the sequence of shots consisting
of “the trial,” “the witnesses,” Lulu’s “medical examination,” and then her being “really ill
(cholera).” The rhythmic match draws the connection between “the trial” concerning Lulu and
“the witnesses” and “the medical examination” concerning Lulu and “the doctors and their
<table>
<thead>
<tr>
<th>mm.</th>
<th>Number of Measures</th>
<th>Image</th>
<th>mm.</th>
<th>Number of Measures</th>
<th>Image</th>
</tr>
</thead>
<tbody>
<tr>
<td>656-661½</td>
<td>5½</td>
<td>Arrest (Local investigation)</td>
<td>713½-718</td>
<td>5½</td>
<td>Reappearance of the helpers</td>
</tr>
<tr>
<td>661½-662</td>
<td>1½</td>
<td>bound in chains</td>
<td>711/12-713½</td>
<td>1½</td>
<td>(as the Countess) At liberty</td>
</tr>
<tr>
<td>662-663</td>
<td>2</td>
<td>Detention</td>
<td>707/08-711</td>
<td>4</td>
<td>She is treated more as patient than as prisoner</td>
</tr>
<tr>
<td>664/65-667</td>
<td>3</td>
<td>Hope for acquittal</td>
<td>705/06-707</td>
<td>2</td>
<td>Growing hope</td>
</tr>
<tr>
<td>667/68-669</td>
<td>2</td>
<td>Dwindling hope</td>
<td>705</td>
<td>1</td>
<td>Isolation ward</td>
</tr>
<tr>
<td>670</td>
<td>1</td>
<td>Trial</td>
<td>704½-705</td>
<td>½</td>
<td>(really ill: cholera)</td>
</tr>
<tr>
<td>670/71-674½</td>
<td>3½</td>
<td>The witnesses</td>
<td>700½-704½</td>
<td>4</td>
<td>Medical examination (Consultation)</td>
</tr>
<tr>
<td>674½-676</td>
<td>2½</td>
<td>She succumbs/ The weapon</td>
<td>700-700½</td>
<td>½</td>
<td>Gradual success</td>
</tr>
<tr>
<td>677-679½</td>
<td>2½</td>
<td>The verdict/ (Collapse)</td>
<td>696/97-699/700</td>
<td>4</td>
<td>Conspiracy for her liberation (the helpers)/Hypodermic syringe</td>
</tr>
<tr>
<td>679½-680½</td>
<td>1</td>
<td>Police vehicle</td>
<td>695½-696½</td>
<td>1</td>
<td>Ambulance</td>
</tr>
<tr>
<td>680½-683½</td>
<td>3</td>
<td>Prison doors close</td>
<td>694/95-695½</td>
<td>½</td>
<td>Hospital door opens/In hospital</td>
</tr>
<tr>
<td>683½-684/85</td>
<td>1</td>
<td>Resignation</td>
<td>690-694</td>
<td>5</td>
<td>Awakening will to live (Cheerfulness)</td>
</tr>
<tr>
<td>685-687½</td>
<td>2½</td>
<td>Her shadow</td>
<td>688½-689</td>
<td>1½</td>
<td>Her image in a muck shovel</td>
</tr>
<tr>
<td>687½-688½</td>
<td></td>
<td>One-year-and-a-half/</td>
<td>688½-689</td>
<td>1½</td>
<td>Her image in a muck shovel</td>
</tr>
</tbody>
</table>

FIGURE 2.2: Durations of shots and scenes in the film and rhythmic matches corresponding to the FMI’s number of measures (mm. 656-718).
assistants.” Following this rhythmic match is another one consisting of a sequence of shots showing Lulu “succumb[ing],” “the weapon,” “the verdict,” and her “collapse,” and then “the police vehicle” on the one hand and the sequence showing the hospital “doors open,” “the ambulance,” “the hypodermic syringe” and the “conspiracy for her liberation (the helpers),” and her “gradual success” on the other.

The following rhythmic match between two sequences of shots consists of the sequence that contains shots showing the prison “doors close,” Lulu’s “resignation,” and her “shadow on the wall” and “image in the muck shovel” and then her “awakening will to live.” The three shots in the first sequence are the same length as the latter mentioned sequence containing two in the second. Within the two sequences of shots, the shot of Lulu’s “resignation” and the shot of “her image in the muck shovel” are the same length. Once again, a symbolic connection can be found: Lulu’s “resignation” (an implicit close-up) is the last time the audience sees Lulu’s face before the “one-year-and-a-half” indication at the fermata and a close-up showing Lulu’s “image in the muck shovel” is the first time the audience sees Lulu’s face after she served her time. Figure 2.2 depicts the “one-year-and-a-half” imprisonment (the “absolute standstill”) as a single shot. No matter how Lulu’s “one-year-and-a-half” of imprisonment is represented in the shot, the paired shots consisting of Lulu’s “shadow on the wall” and then “her image in the muck shovel” can be made to produce another rhythmic match.

**Wipes**

The wipe is a framing technique used in film to show the distinct or indistinct line that pushes off a shot of the old image by replacing it with a shot of a new one.12 By their nature, wipes are transitions and thus not sudden cuts. As with dissolves and fades, there is a problem with using a wipe to introduce a new shot for every event, image, or action in the FMI (i.e., wipes can

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12 Giannetti, *Understanding Movies*, 518. This definition differs slightly from Giannetti, whose definition only considers the distinct line. The artistic replacement of the shot of an old image (old material) by pushing this image off the screen with a shot of a new image (new material) needs to be emphasized.
be over-used). The two most logical places in the FMI for wipes are the shots showing “the police vehicle,” in mm. 679-680, and “the ambulance,” in mm. 695-696 (see Figure 2.1). Throughout the history of film, wipes have been used frequently to show the movement of vehicles in film as well as to replace an old shot with a new one. Wipes also condense the real time needed to show the entire travels of a vehicle.

These wipes involve onscreen horizontal and vertical lines, diagonal lines with a positive (right side up) and negative (right side down) slopes, a combination of two kinds of lines (only two because one is concerned with showing no more than two kinds of materials: new and old), and emerging from a pinhole to the periphery or the reverse. In addition to these lines, recall that they can be distinct (one sees the line travel across the screen) or indistinct (one sees that the new shot replaces the old one in a way that the new shot travels across the screen without a line or with what appears to be a fuzzy border). Throughout the FMI, new materials appear to push out old materials in ways that can be immediately perceived by ear. But there are far fewer kinds of wipes that can be perceived immediately by ear. Similar to the vertical line onscreen, the new material in music can push out the old material in forward motion. In music the new material might be slowly introduced until it takes over. Changes in instrumentation, dynamics, and rhythm can play a part in bring new materials to the foreground just as much as changes in motives and themes. Also similar to the horizontal line onscreen, new musical materials are capable of supplanting the old from highest to lowest or lowest to highest voices.

The shot of “the police vehicle” replaces the shots of “the verdict” and Lulu’s “collapse,” in mm. 677-680. Several instruments play sustained notes, interrupting the prevailing sixteenth and eighth notes in m. 678, that signify the beginning or ending of a section (*Agitato* or *Sempre vivace*, respectively). This is followed by a new *Hauptstimme* and a change in contour from the prevailing repetition of notes with Dr. Schön’s ostinato to the beginning of a quickly ascending and descending contour played by flutes 1, 2, and 3, oboes 1, 2, English horn, clarinets 1, 2, and 3, alto saxophone, harp, and piano. The new pitch materials in mm. 679-680 that accompany the “police
vehicle” are the remnants or fragments of Dr. Schön’s row materials. Dr. Schön’s ostinato is no longer presented in this shot, but rather succeeded by this new row material. In m. 680, the location of the next shot (prison “doors close”), Lulu’s row materials begin to appear again to take over completely by m. 683. The shot of Lulu’s “verdict” and “collapse” can be replaced successfully by the shot of the traveling “police vehicle”; this can be followed by a cut to the next shot showing the prison “doors close.” Here, the wipe might travel in the same direction as “the police vehicle.” The shot of “the ambulance” in mm. 695-96 is preceded by the prevailing sustained notes. The end of the ascending and descending contour in the harp and piano parts and Dr. Schön’s ostinato accompanies the image of the ambulance pulling into the hospital. This time the wipe takes place at the end of the shot of “the ambulance”: the new material is the succeeding shot, “the liberation action.” This suggests that the distinct or indistinct line of the new shot might move across the screen in contrary motion to the moving vehicle. Another possibility is to have the shot show “the ambulance” stopping at “the hospital” and then replace the shot with a wipe having one or two distinct lines traveling across the screen at any possible angle.

The Film Shown at the 1937 World Premiere of Lulu

Cast members of this performance have been shown in the illustrations that accompany some publications concerning the opera and its 1937 premiere. But what has not been shown is the performers’ involvement in the FMI’s film. Berg intended for a new film to be made with every new performance of the opera, featuring performers from the opera. Hans Rudolf Meyer’s firm Tempo produced the film shown at the 1937 premiere. The film production company was known mostly for producing films for advertising. Heinz Rückert directed the film. Though

13 According to the Handelsregisteramt des Kantons Zürich, the film production firm Tempo (1932-59) was located at Freudenbergstraße 132 in Zurich. My thanks to Dr. Anna Pia Maissen at the Stadtarchiv Zürich for helping me access this information and for sending photocopies of the pictures of stills of the missing film that are in the collection there. A fifth picture was sent to me; this picture shows Lulu (Nuri-Hadzic, lower left, arm shown only) struggling with Dr. Schön (Stig, from center to upper right). “The weapon” is in her hand. It is more likely that this picture is perhaps a publicity photo of the struggle that took place on stage rather than a still from the film.
scholars believe that this film is lost, four pictures of stills from the missing film are kept at the Zurich Stadtarchiv. These stills are shown here as Pictures 2.1-2.4. They feature Bahrija Nuri-Hadzic as Lulu, Asger Stig as Dr. Schön, and Peter Baxevanos as Alwa. Though no annotations accompany these pictures, it is usually easy to identify which picture might accompany which annotation in the Film Music Scenario or the score of the opera.

All the pictures provide supporting evidence that the film company’s director (Rückert) and its cameraman (Meyer) followed Berg’s annotations in either the earlier, less complete version of the Film Music Scenario or the later, more complete one or by using Berg’s annotations in the score or both. Some camera techniques can also be determined by examining these pictures. There is an interesting use of the *mise-en-scène* with Lulu in this film. Lulu appears lower than Alwa during her “arrest” (Picture 2.1), but she is shown to be above him later during her “detainment” (Picture 2.2). The shot used here is an over-the-shoulder shot that blurs Alwa’s features and focuses on Lulu “in nervous expectation.” The shot of Lulu is also a close-up that places her worried facial expression and her nerve-racked hands in the fore. The shot enables the audience to be fully aware of Lulu’s emotional state during her “detainment.” The long shot of Lulu lying in bed in a hospital, as a nurse tends to her, enables the audience to take in details of the hospital such as her chart as another picture of Lulu on the wall (Picture 2.3). The close-up shot of Lulu in bed (Picture 2.4) emphasizes that Lulu has become more ill. Her hand raised to her head adds to the impression that she is sicker than she was in the previously mentioned shot.
PICTURE 2.1: Still from the film shown at the 1937 world premiere at the Zurich Stadttheater: Lulu (Nuri-Hadzic, center and lower) and Alwa (Baxevanos, left) with the police at her “arrest.”

Courtesy of the Stadtarchiv Zürich. Used by permission.
PICTURE 2.2: Still from the film shown at the 1937 world premiere at the Zurich Stadttheater: Lulu (Nuri-Hadzic, center), “in nervous expectation,” with Alwa (Baxevanos, lower left) at her “detainment.”

Courtesy of the Stadtarchiv Zürich. Used by permission.
PICTURE 2.3: Still from the film shown at the 1937 world premiere at the Zurich Stadttheater: Lulu (Nuri-Hadzic, center and lower) lying in bed in the hospital with a nurse (center and upper) checking on her; “she is being treated more as a patient than as a prisoner.”

Courtesy of the Stadtarchiv Zürich. Used by permission.
PICTURE 2.4: Still from the film shown at the 1937 world premiere at the Zurich Stadttheater: Lulu (Nuri-Hadzic, center) lying in bed in the hospital, “(really sick: cholera).”

Courtesy of the Stadtarchiv Zürich. Used by permission.
Musical Frames and the FMI and Frames in Film

This section will examine the FMI’s musical frames, which add to its cinematic quality of shifting colors, moods, dynamics, rhythm, gestures, and instrumentation. The following analysis draws on Edward T. Cone’s observations about musical frames in his monograph *Musical Form and Musical Performance*. Cone explains that the silence before and after a performance is perhaps the most obvious musical frame or extreme. The musical frame, as with a picture, defines the subject, separating it from its surroundings and protecting it from the encroachment of its surroundings. Yet in some instances music can overflow its frames. Music has internal frames as well as extremes. The presence of internal frames in music implies that certain kinds of musical gestures themselves can also be framing.

Cone is interested not only in the musical frame itself, but also the act of musical framing and the use of the musical frame as structure. Although his discussions about frames do not cover music that accompanies motion pictures, his observations about the frames, form, rhythm, and performance of western art music are especially applicable to this study. Cone’s monograph has five premises: valid and effective performances respect the musical frames of a composition as well as musical form in the rhythmic structure; both temporal and nontemporal arts can stimulate multiple readings; form is not just an aspect of musical style, but it also summarizes all aspects of style and the characteristics of different styles are most distinct in comparisons and contrasts; the best performances satisfy both aesthetic modes of perception: synoptic comprehension and

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15 Ibid., 14-15.
16 Ibid., 19.
immediate apprehension;¹⁷ and performance instruction is too strongly oriented towards immediate apprehension. This study will touch upon all five premises in the analysis of the FMI's filmic aspects.

Cone deals almost exclusively with examples of tonal music from the western art music repertory, but almost all of the criteria he uses for finding musical frames can also be used for finding frames in atonal and serial music. In order to identify a musical frame, one must find either one or more framing devices for musical frames. Some elements of a musical work connote a musical frame on their own. These kinds of framing devices for musical frames may or may not appear by themselves and include the beginning and end of an entire piece and distinct sections or movements with a beginning and an end. These framing devices are so strongly suggestive of musical frames that they provide enough evidence for determining them. There are many more framing devices for musical frames that work together than work separately. For tonal music these might include double bars, metric accents (bar lines), rests, fermatas, cadences, key changes, themes, changes in instrumental textures or timbres, dynamics, gestures, voicing, rhythms, and registers. Many of the same framing devices work for atonal and serial music, but framing devices such as key changes or those that depend on key changes are replaced by new row material or collections of notes in atonal or serial music, changes of instrumental texture, and voices indicated as *Hauptstimme* or *Nebenstimme*.

Cone's explanations and discussions of musical frames and internal frames reveal a hierarchy: there are frames that represent the boundaries of a work (its extremes) and there are internal frames. The latter kind of frame is not defined explicitly by Cone; one infers that these frames exist within a work, not necessarily requiring a boundary of silence, but requiring attention from both performer and listening audience as an internal organizing force. Cone's hierarchy

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¹⁷ Ibid., 89-90. Cone associates synoptic comprehension with contemplation and immediate apprehension with experience. Whereas synoptic comprehension is the esthetic mode that deals with the perception of the unity of a musical piece, immediate apprehension is only concerned with details and closely juxtaposed relationships found on the surface.
appears to be traditional or top-down. The outer frame is the large-scale and the internal frame is the small-scale organizing factor of musical form. This musical frame does not destroy the notion of a hierarchy of frames, but it changes one's understanding of the kind of hierarchy employed. The actual hierarchy here includes both specialized and interdependent kinds of frames. This analysis shows that the most important frames appear four times in the FMI: the first and second Curtain Music (external, just before and after the curtain) and the fermata or the end of the first half of m. 687 and the beginning of the second half of this measure (internal, see Examples 1.2a and 1.2b). Each of these frames occurs in an important place in the musical structure. As with frames that are either purely extremes or purely internal, these frames are also supported by changes of the musical surface. These changes are especially evident in the instrumental texture, dynamics, voicing, gesture, choice of pitch material, and rhythm.

In the opera Lulu the FMI separates itself from the body of the work (film music separates itself from opera music) via Curtain Music. Surrounding the FMI are two parallel instances of Curtain Music. This transitional music--transitional despite being located in the middle of a serial composition--parallels the transitional device, the curtain, used by theatre, borrowed by cinema, and shared by both. The Curtain Music can also be comprehended as a pair of musical frames with durations. These musical frames occur quickly, but have duration and unlike many musical frames, audiences can perceive their content. The first Curtain Music indication, Ostinato, and instruction, Curtain quickly closes . . . , located in mm. 652-655, is included in Example 2.1; the second Curtain Music, with the instruction Curtain opens slowly, located in mm. 719-721, is included in Example 2.2.

The Curtain Music’s ostinatos suggest transitions from one part of the body of the work to the FMI and then to another part of the body of the work. The score and the Film Music Scenario reveal that Berg thought of the Curtain Music as a connection between the body of the work and

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18The score annotation is “Vorhang rasch zu . . .”
the FMI and as music that is separate from the body of the work and the FMI. The first and second Curtain Music serve as interruptions in the ongoing serial techniques employed in the body of the work and in the FMI. In other words, while the musical passages of the body of the work and the FMI that are adjacent to the Curtain Music are characterized by the use of linear and vertical presentations of one or more character’s row material, the Curtain Music is characterized by ostinatos unique to itself; the employment of these ostinatos presents an audible contrast to the presentations of row material of the body of the work and the FMI.

There are, however, many connections between the first Curtain Music and the body of the work. The first Curtain Music continues and concludes the descending melodic gesture (and contour) found in the winds and the strings in mm. 650-651. The ostinatos actually begin before either the Ostinato or the first Curtain Music. The first Curtain Music actually makes its entrance already in the last two measures of the body of the work. In other words, two frames overlap: the first Curtain Music, as a frame, overflows the frame between the body of the work and itself. The directions above Alwa’s part suggest that the audience sees action on stage until m. 654. According to Berg’s instructions, Alwa goes to the door to open it in mm. 652-653 and then opens it by the end of m 653 or beginning of m. 654.19

Because of these connections to the body of the work, the FMI seems to interrupt the first Curtain Music in m. 656 (see Example 1.3): the singers exit the stage and there is a striking contrast in dynamics. The \( p/pp \) indication at the end of the first Curtain Music, m. 655 (see Example 2.1), is followed immediately by \( f \) at the beginning of the FMI, the first \textit{Tumultuoso}, m. 656. The \textit{decrescendo} preceding the FMI might also be perceived as a setup through fading music for the start of a new section at the end of m. 655. The first Curtain Music fades out completely not in its own section, but rather at the first eighth note rest of the FMI in m. 656. The first eighth note rest will be perceived as the end of the First Curtain Music rather then as the start of the

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19 The directions above Alwa’s part read “geht zur Tür, um zu öffnen . . . tut es.”
Tumultuoso; the unison attack by the crash cymbals and trumpets on the second beat, shadowed by the harp, low strings, and low woodwinds one dotted quarter note later, should sound like an interruption of the Curtain Music. In addition to the contrast in dynamics, the FMI seems to interrupt the Curtain Music by its change in instrumentation and meter. Although bass clarinet, contrabassoon, and violoncello play in both the last measure of the first Curtain Music, m. 655, and the first measure of the FMI, m. 656, there are differences in instrumentation. In m. 655 the first Curtain Music employs in addition to the above-mentioned instruments the timpani, bass drum, piano, and contrabass (in divisi). In m. 656 the FMI employs in addition to the above mentioned instruments the trumpets 1, 2, and 3, crash cymbals, harp, and contrabass. There is no double bar between the body of the work and the first Curtain Music. The \( \frac{3}{4} \) meter of the first Curtain Music is more affixed to the body of the work preceding it than to the following FMI in \( \frac{4}{4} \).

The second Curtain Music, which is one measure shorter than the first, is to be played almost twice as slowly as the parallel passage, the first Curtain Music.\(^{20}\) The first and second Curtain Music are about equal in duration. The entrance of the Second Curtain Music is in m. 718, the last measure of the FMI. The \( \frac{3}{4} \) meter of the second Curtain Music in m. 719 conveys a point of return to both the Curtain Music and the body of the work (see Example 2.2). Although the second Curtain Music is supposed to be a parallel passage to the first Curtain Music, its connection to the body of the work is much weaker. The music in m. 651 is different from m. 722 (not shown). Hence the edges of the body of the FMI are not part of the central palindrome of the three acts of the opera. In contrast to the body of the work and the beginning of the first Curtain Music, the ascending contour at the end of the second Curtain Music is continued more Slowly--eighth note triplets prevailing in m. 721 (see Example 1.5) rather than sixteenth notes prevailing in m. 655 (see Example 2.1)--in the beginning of the body of the work from m. 722 to m. 726. The second Curtain Music serves a different purpose from the first: it enables the FMI to

\(^{20}\) Berg’s annotation at the bottom of the opera score has an asterisk: “*) fast doppelt so langsam wie die parallele Stelle (Takte 652-655).”
wind down or fade out. This ending is abruptly interrupted (contrast to entrance of the crash cymbals in m. 656) in turn by the piano’s chords in the body of the work in m. 722.

The rest of this chapter will focus on the FMI’s most distinct frames, obscured frames, questionable frames, and passages that do not contain expected frames. This scope ranges from clearly executed frames (audible and visual frames that are always sectional or indicate the beginning or ending of a section, and can be internal) to frames that are difficult to ascertain because they are hidden or lack supporting surface changes to expected frames that never take place (inaudible frames that are internal). In the FMI, every annotation seems to have an accompanying musical frame. Table 2.2 lists the distinct, obscured, questionable, and expected frames (respectively) along with the kinds of frames identified. Table 2.2 shows that the FMI is not perfectly symmetrical with respect to its pattern of frames. For example, there is an obscured internal frame in mm. 670-671 whereas a questionable internal frame is found in the parallel passage in m. 700-701. Another example is the distinct internal frame in m. 680, whereas a distinct internal and possibly sectional frame follows in the parallel passage in m. 694. An obscured internal frame occurs in m. 683, though its parallel passage is located in m. 691, its parallel obscured internal frame occurs in mm. 689-690. Finally, another aspect of asymmetry can be found in mm. 681-82 and its parallel passage in mm. 692-693. In the former passage no frame occurs, but in the latter an obscured internal frame takes place.

The previous discussion about the first Curtain Music already touches on the FMI’s first frame located at the beginning of m. 656, the first Tumultuoso section. This frame is distinct because of the simultaneous change of meter, dynamics, mood, and instrumentation. In the score

21 As expected, nearly all recordings of the Film Music Interlude as the “Ostinato” in the Lulu-Suite are about a minute longer than recordings of the FMI. It is uncertain why recordings of the “Ostinato” are generally slower than recordings of the FMI, though some recordings of the FMI try to match a film. Because recordings of the “Ostinato” go by slower, frames are readily more perceptible by ear. The most striking performance observing and presenting these frames is Berg, Lulu Suite, London Symphony Orchestra, Dorati, Mercury Living Presence compact disc 432 006-2. The duration of this performance, 3 minutes and 43 seconds, is long compared to most recordings of the Lulu-Suite (and longer than recordings of the FMI).
there is a double bar that signifies the end of the first Curtain Music and the beginning of the first Tumultuoso. This frame is followed by the first two measures of the Tumultuoso (see Examples 2.1 and 1.3). In addition to the above mentioned changes, there is the irruptive or interruptive opening of the trumpet fanfare in mm. 656-657. Cone describes this kind of opening as a kind of indistinct edge: “one that breaks in so violently as to suggest that there should be no silence before it, no frame to separate the music from the outer world.” And there is no silence before this opening. There is the fading music and then the double bar; neither represents silence. The entrance of a new Hauptstimme tells the listening audience that a frame has just passed by. Despite the Hauptstimme indications for most of the instrumental parts in mm. 656-657, it is the trumpet fanfare with the crash cymbals that attracts the most attention and announces the beginning of the FMI.

There is an obscured internal frame corresponding to Lulu “bound in chains” in m. 661. This is an internal frame because of its location in the first Tumultuoso and because of the striking changes that take place on the music’s surface. It is an obscured frame because several notes are sustained before and after it and because of the density of the instrumental texture. The annotation “bound in chains” takes place at the climax of pitch and dynamics of the Tumultuoso section. The annotation is also located in a place where violins 1 and 2 play their first pizzicati in the FMI in sffz and the viola and violoncello play their first pizzicati in ff. The clang of the triangle can be perceived as lending to the image of Lulu “bound in chains.” It is at this very moment that Lulu’s row material takes over the FMI for the very first time. This row material closely resembles Lulu’s P₀ as chords or stacked notes. The new Hauptstimme indications in the flutes 1, 2, and 3, oboes 1, 2, and 3, clarinets 1, 2, and 3, and trumpets (C) 1, 2, and 3 also suggest the internal frame. The frame that occurs in this passage is analogous to the frame that is accompanied by the annotation reappearance of the helpers in mm. 713-714.

22 Ibid., 19.
TABLE 2.2: Distinct (D), Obscured (O), Questionable (Q), and Expected (E) frames (mm. 656-718).

<table>
<thead>
<tr>
<th>mm.</th>
<th>Annotation</th>
<th>Kind of Frame</th>
<th>Kind of Frame</th>
<th>Annotation</th>
<th>mm.</th>
</tr>
</thead>
<tbody>
<tr>
<td>656</td>
<td>Arrest (Local investigation)</td>
<td>D: extreme, sectional, and internal</td>
<td>D: extreme, sectional, and internal</td>
<td>none (double bar)</td>
<td>718</td>
</tr>
<tr>
<td>661</td>
<td>bound in chains</td>
<td>O: internal</td>
<td>O: internal</td>
<td>Reappearance of the helpers</td>
<td>718</td>
</tr>
<tr>
<td>662-663</td>
<td>Detention</td>
<td>D: sectional and internal</td>
<td>D: sectional and internal</td>
<td>At liberty (as Geschwitz)</td>
<td>711-712</td>
</tr>
<tr>
<td>664-665</td>
<td>Hope for acquittal</td>
<td>E: internal</td>
<td>E: internal</td>
<td>none</td>
<td>710-711</td>
</tr>
<tr>
<td>667-668</td>
<td>Dwindling hope</td>
<td>O: internal</td>
<td>none</td>
<td>O: internal</td>
<td>707</td>
</tr>
<tr>
<td>669-670</td>
<td>Trial</td>
<td>D: internal</td>
<td>D: internal</td>
<td>Isolation ward</td>
<td>705</td>
</tr>
<tr>
<td>670-671</td>
<td>The witnesses</td>
<td>Q: internal</td>
<td>Q: internal</td>
<td>(really ill: cholera)</td>
<td>704</td>
</tr>
<tr>
<td>674-675</td>
<td>She succumbs/ The weapon</td>
<td>O: internal</td>
<td>Q: internal</td>
<td>Medical examination (Consultation)</td>
<td>700-701</td>
</tr>
<tr>
<td>677-678</td>
<td>The verdict/ (Collapse)</td>
<td>D: sectional and internal</td>
<td>D: sectional and internal</td>
<td>Conspiracy for her release (the helpers)/ Hypodermic syringe</td>
<td>696-697</td>
</tr>
<tr>
<td>679</td>
<td>Police vehicle</td>
<td>E: internal</td>
<td>E: internal</td>
<td>Ambulance</td>
<td>695</td>
</tr>
<tr>
<td>680</td>
<td>Prison doors close</td>
<td>D: internal</td>
<td>D: (sectional? and) internal</td>
<td>Hospital door opens/ In hospital</td>
<td>694</td>
</tr>
<tr>
<td>681-682</td>
<td>none</td>
<td>none</td>
<td>O: internal</td>
<td>none</td>
<td>692-693</td>
</tr>
<tr>
<td>683</td>
<td>Resignation</td>
<td>O: internal</td>
<td>O: internal</td>
<td>Awakening will to live (Cheerfulness)</td>
<td>689-690</td>
</tr>
<tr>
<td>685</td>
<td>Her shadow</td>
<td>E: internal</td>
<td>E: internal</td>
<td>Her image in a muck shovel</td>
<td>688-689</td>
</tr>
<tr>
<td>686-687½</td>
<td>none (double bar)</td>
<td>O: internal</td>
<td>O: internal</td>
<td>none (double bar)</td>
<td>687½-688</td>
</tr>
<tr>
<td>687½</td>
<td>One-year-and-a-half/</td>
<td>D: extreme, sectional and internal</td>
<td>(absolute standstill)</td>
<td>687½</td>
<td></td>
</tr>
</tbody>
</table>
The next frame in the FMI, located in mm. 662-663, is a distinct sectional and internal frame, even though the Agitato’s music overflows it. It marks the beginning of the second section of the FMI, the first Agitato. The annotation “detention” corresponds to the beginning of this new section. The dynamics indications \textit{fp, p,} and \textit{pp} and the pickup notes serve as both visual and aural cues for the Agitato. The softer dynamics that are characteristic of the beginning of the first Agitato precede this section. The change in instrumental texture occurs quickly after the frame. The parts with sustained notes in m. 663 do not prevail in this new section. The prevailing instruments are the harp, piano, and strings. This frame is analogous to the distinct frame in mm. 711-712 not because of identical pitch materials (the latter in retrograde motion); it is because of the changes in dynamics, voicing, and sustained notes that appear near both of these frames. Although this frame is analogous to the distinct sectional frame in mm. 711-712, it is interesting that both frames are perceived to mark the beginnings of two nonanalogous sections. The frame in mm. 662-663 marks the beginning of the Agitato whereas the frame in mm. 711-712 marks the beginning of the second Tumultuoso. With the latter passage, this perception takes place regardless of knowing that the sustained notes in the clarinets and horns in m. 662 belonged originally to the Agitato. The sustained notes of the passage played in retrograde by the same instruments in m. 711 appear to be setting up the anticipation of an upcoming section.

It is therefore expected that the next annotation would also have an accompanying musical frame, but not enough changes can be found in the FMI as evidence of a musical frame. Many changes occur before Lulu’s “hope for acquittal.” The contour, found in the strings, ascends at the beginning of the Agitato, over one measure before Lulu’s “hope for acquittal.” This annotation is also preceded by the entrance of the harp, rests in the contrabass, and the initial entrances of all strings in this section. The dynamics only gradually increase at the beginning of this section. All of these changes exist nearby, but not in the same place as Lulu’s “hope for acquittal.” The analogous passage, mm. 710-711, does not have an annotation. The expected internal frame in this measure would be analogous to the expected frame in mm. 664-665.
Example 1.6 shows the last eighth note of m. 667, at the zenith of the contour and dynamics in the Agitato section, where the shot of Lulu’s “dwindling hope” takes place. This is an obscured internal frame because some of the changes on the musical surface overflow it. Some of the strings switch from arco or pizzicato to Griffbrett just before the frame whereas others switch after it. Likewise, new voices marked Hauptstimme overlap. Lulu’s “growing hope” in mm. 705-706 is located nearby its analogous passage to Lulu’s “dwindling hope” in mm. 707-708. The analogous frame to the obscured one found in m. 667 does not exist here at the beginning of Lulu’s “dwindling hope,” an event that is paired with her “growing hope.” There is an obscured frame at m. 708 that is analogous to the one found in m. 667, but no annotation is used to indicate the frame.

While the music from m. 663 to m. 669 is based solely on Lulu’s row material (as mentioned in Chapter 1), Berg introduces Dr. Schön’s row material in the Agitato in m. 670, the location of the annotation “trial” followed by “the 5 witnesses.” Dr. Schön’s ostinato in the piano part can also be interpreted as a motive in the FMI. The ostinato appears as a Nebenstimme. Example 1.4 includes this motive along with the internal frame in m. 670. The instrumental texture changes following the frame as the clarinet 1 begins to accompany the ostinato played by the piano and then by the strings in m. 670. In addition to these changes in the instrumental texture, two percussion instruments, the snare drum and the bass drum, play together for the first time in the FMI. Because there are many changes on the music’s surface, the internal frame accompanying “the trial” is distinct.

The questionable internal frame corresponding to the annotation “the 5 witnesses” occurs only 2 seconds after the previous distinct internal frame. Example 1.4 also shows the questionable frame corresponding to “the 5 witnesses.” Although there are several changes in the musical surface, the impression is mainly visual rather than aural. The second appearance of Dr. Schön’s ostinato, still marked Nebenstimme, is played by more instruments than before, but demands less attention from the listening audience than in its first appearance. The breath mark in the piano’s
part along with the entrance of the bassoon’s passage, a linear presentation of Schön’s P₄ row, and the dynamics indication *poco a poco crescendo* are clearly seen in the score as changes to the musical surface, but also tend to pass by aurally without much notice. Though both annotations also correspond to single eighth notes played by the contrabass *in divisi*, these notes are so soft and quick that their novelty is unlikely to be immediately appreciated. These changes are weak supporting evidence for both frames. At best, the internal frame corresponding to the witnesses is questionable. The analogous passage and frame in mm. 669-670 is found in mm. 704-705. The distinct frame corresponds to the annotation “isolation ward.” In the end of m. 704 is the annotation “(really ill: cholera).” As with the passage corresponding to the witnesses, there is no internal frame that accompanies the annotation “(really ill: cholera).” The reason for the lack of frames in the music corresponding to these two annotations is rooted in the context of the film’s narrative: “the 3 participants” are part of “the trial” and Lulu’s sickness becomes more severe while in the “isolation ward.”

In m. 674, Dr. Schön’s ostinato, promoted from *Nebenstimme* to *Hauptstimme* (as discussed in Chapter 1) accompanies the shot showing that “she succumbs” (see Example 1.5). The vibraphone, which plays Schön’s ostinato marked *Hauptstimme*, plays for the first time here. The frame is internal and obscured because the winds, which do not play the ostinato, compete with it for dominance in the foreground. Right after “she succumbs,” “the weapon” is shown. The latter image corresponds to the first entrance of the English horn in the FMI. Both the English horn and piano are marked *Nebenstimme*, but with an already dense instrumental texture and more striking changes in the music taking place where “she succumbs,” there is not enough evidence to support that a new frame accompanies the latter image.

In m. 677, where the “verdict/(collapse)” takes place, Dr. Schön’s ostinato repeats again as a *Hauptstimme*. Here the dynamics reach *f/ff*. The horns, trumpets (C), vibraphone, and strings play Dr. Schön’s ostinato, which is clearly taking over. The intensity of the ostinato is so strong that a distinct frame can be identified here. The *Agitato* ends in m. 678 with end brackets for all
voices marked *Hauptstimme*. This change in voicing suggests a sectional frame or extreme that at the same time serves as an internal frame. Dr. Schön’s row materials are still present, but now as fragments. The heightened intensity of the instrumental texture at the end of the *Agitato* is released through longer note values and rests in many of the instrumental parts at the beginning of the new section. Because of the new section and these changes, this internal sectional frame is distinct. An expected internal frame should accompany the new image of “the police vehicle” in m. 679, but there is no evidence that a musical frame exists here. The new image takes place after the beginning of the *Sempre vivace* section, and even though many voices are marked *Hauptstimme* prior to the annotation there is too much overlapping of these voices to set up a new musical frame here.

In m. 680 the annotation “prison doors close” corresponds to another distinct internal frame (see Example 1.7). This annotation comes after breath marks in the winds and brass as well as the piano and harp that play prior to this frame. The annotation also corresponds to the entrance of fragments of Lulu’s row material in the flutes, clarinets, harp, and piano. The sustained notes played after the frame by the alto saxophone, horns, trombones, and tuba provide another distinct surface change in the music. There is one particular aspect of this music that overflows this frame: the *Hauptrhythmus*, played by the vibraphone just one beat before the annotation, acts as a rhythmic motive that seems to stress the sense of finality for the closing of the prison doors. This passage and its frame are analogous to m. 694. The vibraphone in the latter passage plays the *Hauptrhythmus* just before “the doors open” to the hospital.23

Though there is no musical frame in mm. 681-682, there is an obscured internal frame in its analogous passage located in mm. 692-693. There is an absence and presence of a musical frame in mm. 681-682 and 692-693, respectively. In m. 692, the instrumental texture is sparse.

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23 The *Hauptrhythmus* also appears in mm. 649-651 in the body of the work and just before the first Curtain Music. It seems to set up the anticipated closing of the curtain. The exception to the notion that Berg employs the *Hauptrhythmus* in the FMI to anticipate the opening and closing of objects occurs when it does not occur, as expected, prior to the opening of the curtain in the second Curtain Music in mm. 719-721.
Then the contrabass plays *pizzicato* and is followed by new voices marked *Hauptstimme* in the strings. In m. 693, the brass gradually intensifies the instrumental texture. The sustained notes played by violin 1 and the continuation of the upper winds, harp, and piano obscure this internal frame, which seems to be setting up the instrumentation of the following section, the *Vivace*.

Example 1.2a shows several distinct, obscured, and expected internal frames in the vicinity of the central axis, mm. 685-689. This passage exemplifies Berg’s play with musical frames in the FMI. In m. 685 the annotation “her shadow on the wall (like the picture!)” coincides with the tempo indication *Noch langsamer*. Because of the context of the annotations, which tell the film’s story as well, one would expect a musical frame here. This annotation is preceded by Lulu’s emotional state of “resignation” in m. 683. One would expect a new frame to correspond to “her shadow on the wall (like the picture!).” In m. 684 there is the *ritardando*. One would expect the music to slow down, perhaps to a stop just seconds after this indication, but then the music becomes even slower in m. 685 (see Examples 1.2a and 1.2b). The only new material that enters is the passage marked *Nebenstimme* that is played by trombones. This passage consists of Lulu’s P₁₁ material presented as chords in *mp*. Rests in many parts and a change in instrumentation follow this annotation and expected frame. But the overlapping voices and lack of perceivable changes on the surface fail to suggest the expected internal frame. Similarly, the annotation “her picture in a muck shovel” in mm. 688-689 does not have an expected internal frame. The double bars in mm. 686-687½ and mm. 687½-688 represent obscured internal frames. The horns’ and first solo violoncello’s passages overflow the double bar in mm. 686-687½, whereas the horns’ and second solo violoncello’s passages overflow the double bar in mm. 687½-688. The trumpets and trombones play immediately before and after the double bars, which help emphasize the presence of the obscured frames. In addition to these passages, the rests before and after the frames also helps define them, though more so visually than aurally. These two obscured frames contain passages played by the clarinets, bass clarinet, vibraphone, piano, and solo violins.
Describing the frame located at the fermata as distinct might seem suspect at first. After all, the music clearly overflows the frame here and it makes sense to label the frame as obscured. During the fermata, the instruments employed are either sustaining notes or following rests written in their parts. Nothing stops during the fermata; the performers resume what they were doing just before it. The fermata imposes extra beats to the frame at the midpoint of the FMI.24 The conductor and ultimately the sustaining abilities of these instruments limit the length of the fermata and theoretically there must be a distinction between the attack and sustain and sustain and decay. Though the exact appearance of the frame evades the listening audience’s limited perception, it is understood to exist once it has passed by. It marks the beginning of the FMI’s second half, the first half in retrograde. Because the second part has a beginning here, it must establish a distinct frame. This frame prevents the previous music from m. 656 to 687½ from its encroachment of the following music from mm. 687½ to m. 718. The frame is extreme and sectional because it marks a new section and the second half of the FMI’s large-scale musical structure. It is also an internal frame because it is surrounded by ongoing music.

This analysis of the FMI shows that most of the frames before the fermata run parallel to those in corresponding passages after the fermata, thus almost forming an audible symmetrical pattern. Berg tends to use distinct frames for the beginning of every new section. The symmetrical pattern of frames can be preserved, despite the FMI’s overriding temporal progress (forward motion), because the beginning of a new section can also be the end of a previous section. The music in the beginning of one section differs from the music at the beginning of its analogous section, but the function of the frames in both places is the same. It is remarkable that, despite being surrounded by different music, the internal nonsectional frames also preserve symmetry via their analogous functions. The repetition of these frames is varied because their content and surrounding music change.

24 Cone, Musical Form and Musical Performance, 18. This remark recalls Cone’s discussion about how fermatas and last chords impose extra beats or even extra measures in musical works.
Cone addresses varied repetition in music: “not only must each varied repetition be consistent with the composer’s expressed formal intentions and directions for performance, but it must also be specifically justified by some complexity in the score that it clarifies.” Cone’s observation can be applied to both large-scale and small-scale varied repetitions in the FMI. Up to now three kinds of varied repetitions in the FMI have been discussed: the latter of the two large halves, the latter analogous musical passages, and the latter analogous musical frames. The frames occurring in the FMI almost always correspond to a change in the mise-en-scène or image indicated in the annotations. These annotations, along with the FMI’s musical structure, enable Berg to play with the flat structured hierarchy of these frames. For instance, distinct internal frames can be sectional and nonsectional. Just as with the distinct sectional frames, the obscured, questionable, and expected internal frames hold their own within the musical structure by recurring through varied repetition. And the varied repetition of these frames adds to the clarity of the FMI’s formal organization. The internal frames in the FMI do not require silence in order to separate themselves from the body of the work; they stand out and demand attention because changes on the music’s surface support their presence both visually and aurally. They are all appropriately called “internal” because they expose their own content closely connected to the images conveyed by their accompanying annotation. They participate in keeping the FMI from being mere accompaniment by bringing to the fore its filmic essence.

Conclusions

Berg’s film suggests a combination of two editing styles, Cutting to Continuity and Classical Cutting. From both the annotations in the score and the Film Music Scenario it appears that the composer had in mind certain camera angles and framing techniques or editing devices. Fades and dissolves, graphic and rhythmic matches, and wipes can be used in the film that the FMI accompanies and there are many filmic musical passages that suggest certain framing devices.

25 Ibid., 49.
over others. For instance, the graphic match suggested by both the music and the annotations that correspond to Lulu’s “shadow” in m. 685 and “her image in a muck shovel” in mm. 688-689, both in the vicinity of the fermata in m. 687 (see Example 1.2a).
PART TWO: FILMIC ASPECTS AND CRITICISM

CHAPTER 3

EARLY FILM THEORY AND BERG’S FILM MUSIC INTERLUDE

No art has ever become great without theory.
--Béla Balázs, Der sichtbare Mensch, as cited in Robert Musil, “Toward a New Aesthetic: Observations on a Dramaturgy of Film”

Berg completed the FMI in the early 1930s, only shortly after the advent and then success of the sound film or talkie, and in the formative years of film theory. As discussed in the Introduction, intellectual and creative interactions between prominent composers (interested in film in general as well as film music) and film theorists emerged early in the twentieth century. This chapter explores writings in early film theory and the application of their ideas to the FMI. Early film theory writings by Robert Musil (1880-1942), Béla Balázs (1884-1949), Rudolf Arnheim (1904- ), Herbert Blumer (1900-87), and Kurt London (1900- ), among others, will be considered, as well as early writings about film and film music by composers Arnold Schoenberg (1874-1951), Hanns Eisler (1898-1962), and Theodor Adorno (1903-69).2

Béla Balázs and Robert Musil: The Precision and Soul of the “Visible Man”

In his essay “Toward a New Aesthetic: Observations on a Dramaturgy of Film” (1925), Robert Musil reviews Béla Balázs’s monograph Der sichtbare Mensch (1924), praising Balázs for articulating the need for film theory and for his observations about the isolation of images and actions in film.3 Musil also discusses the difference between a spiritual and perceptual dichotomy


2 Whereas a date of death left blank in the parentheses might indicate that the person is still living, most incomplete dates indicate that there is a lack of information available.

3 Musil, “Toward a New Aesthetic,” in Precision and Soul, 193. The editors and translators add just
he refers to as the normal condition and the “Other” condition. The normal condition is more familiar because it is connected to human experience: it consists of one’s relationship to the world and perception of reality. The Other condition is less familiar: it is the contrasting condition that imprecisely includes vision, love, goodness, and renunciation of the world. For Musil, there are only imprecise definitions of the Other condition partly because this spiritual condition has left only traces on the human experience. This section explores the connections between the isolated actions and images in silent film and the Other condition and how both apply to Berg’s FMI.

In *Der sichtbare Mensch* Balázs describes a major difference between realistic and filmic representation of people as objects in the silent film; in the latter the space is reduced, the images and actions are isolated: “Our expressive space has been reduced to our face. And not only because the other parts of our body are covered by clothes. Our face now resembles a small, clumsy, elevated semaphore of the soul sending us signals as well as it can. . . .” Here, Balázs implies that through the reduction of space, the face must convey more than ever the expressive content of a person as onscreen image. This visible man has not only had his expressive power reduced; his expressive power has not been utilized to its fullest potential:

Today, however, this visible man is no more and not yet entirely here; because it is a law of nature that, when not used, every organ degenerates and becomes deformed. In the culture of words, our body has not been fully used as means of expression. It has thus lost its expressive power [and] has become awkward, primitive, stupid, and barbaric.5

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It is this discussion of the reduction of expressive space and Balázs’s visible man that seems to attract Musil. It also seems that Musil is attracted to Balázs’s notion that the visible man must live onscreen at the same level—and no more importantly—as the onscreen images of inanimate objects, inviting parataxis and thus creating a nonhierarchical web-like world:

A remarkable example is offered by a fundamental experience that belongs to film, that exotic life described in Balázs’s book, a life in which things gain visual isolation. “In the world of speaking human beings, silent things are far more lifeless and insignificant than the human being. They are allowed only a life of the second or third order, and even that only in rare movements of especially clear-sighted sensitivity in the people who observe them. . . . But in the shared silence inanimate things become almost homogeneous with people, and gain thereby in vitality and significance. This is the riddle of that special film atmosphere, which lies beyond the capacities of literature.” One might be tempted to see in this only the description of an emphasis of attention, but the subsequent clarification draws out the meaning quite unambiguously: “The precondition for this is that the image of each object actually signifies an inner condition,” that “in film all things have a symbolic meaning. . . . One could simply say meaning. For symbolic means as much as having significance, going beyond its own sense to a still further sense. What is decisive in this for film is that all things, without exception, are necessarily symbolic.”

This web-like world also fits well with Musil’s perspective on life in general: “In his essays as in his fiction, Musil kept insisting that life is not a sequential narrative of packaged actions or ideas but a fluid network, changing from one minute to the next, in which actions and ideas are inseparable from sensations and emotions.” In silent film, the exotic life described by Balázs represents life artistically. It is connected to reality—every film subject is, including the fantastic—and it is at the same time an isolated, cut off world in which nothing is like anything in

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6 Musil, “Toward a New Aesthetic,” in Precision and Soul, 197. Musil is quoting directly from pages 47-48 of Balázs’s Der sichtbare Mensch.

7 Pike and Luft, introduction to Musil, Precision and Soul, ix. The writers explain Musil’s perspective on life succinctly in the above quotation. Musil writes about the self, feelings or the soul, and the Other condition in his essay: “The feelings do not point to things outside the self, but rather signify inner conditions: the world is not experienced as a field of objective relations, but rather as a consequence of self-oriented experiences.” Ibid., 207.
reality. It is certain that in this web-like world Musil’s Other condition takes place, and for Musil, there are two conditions that cannot be mixed, the normal condition and the Other condition:

One of the two is familiar as the normal condition of our relationship to the world, to people, and to ourselves. . . . This Other spiritual condition is always described with as much passion as imprecision, and one might be tempted to see in this shadowy double of our world only a daydream, had it not left its traces in countless details of our ordinary life and did it not constitute the marrow of our morality and idealism lying within the fibrous threads of evil. . . . and in the image of this world there is neither measure nor precision, neither purpose nor cause: good and evil simply fall away, without any pretense of superiority, and in place of all these relations enters a secret rising and ebbing of our being with that of things and other people.

It is in this condition that the image of each object becomes not a practical goal, but a wordless experience; and the descriptions quoted earlier of the symbolic face of things and their awakening in the stillness of the image belong without a doubt in this context.

It is curious that these conditions, having nothing to do with each other, coexist and are closely juxtaposed in the cinema. Presented to the audience at the same time are the real world, possessing the normal condition, and the film world, possessing both the normal and Other conditions. It is always the normal condition that makes itself more immediate to the audience than the Other condition.

The normal and Other conditions are also closely juxtaposed in Berg’s FMI, but on more levels than are found in the cinema. Prior to the showing of the film in the opera house, the opera audience has already become conditioned to accept the opera Lulu as the seedy reality of its main

8 Ibid., 194. Musil remarks, “people would rather regard art as decoration than as a negation of real life.”

9 Ibid., 198-99.

10 Though both Musil and Balázs leave enough evidence for one to conclude that they viewed form separately from content in the silent film, the Other and normal conditions, respectively, should not be misinterpreted as part of the form-content dichotomy. Films that emphasize form draw from more artistic camera techniques and are considered more experimental than those that are content driven; the latter kind of film focuses more on telling the story. Obviously, there is a great deal of overlap of form and content elements in the many films of Musil and Balázs’s time.
The normal condition prevails in the opera, though elements of the Other condition can also be found. For instance, concerning the normal condition, the seedy reality of Lulu is full of characters who are driven by their desires. Good and evil are distinct (although for some this distinction is not grasped immediately). At the same time this is a theatrical work and, concerning the Other condition, the distinction between good and evil is less precise than what the audience is familiar with based on their realistic experiences. The FMI’s film, though the narrative content is placed into the foreground, makes the Other condition apparent. The opera’s content is mainly presented by the singing, spoken words, and actions of the performers; the silent film content is presented by the character’s (or actors’) actions and images on screen. It is in the film that Lulu and the other characters employed here are more closely related to the images of objects. Musil’s explanation that the images of objects in silent film become wordless goals is apt indeed for the FMI’s film. The objects shown during the film have just as much power in advancing the narrative of the film as the people. For Balázs, objects and people and their expressions are also just as much the materials of film to be dealt with by the filmmaker as technical aspects such as light and photography:

The [medium of] film is called “Lichtspiel,” and in the end it really is only a play of light. The materials of this art consist of light and shadow [just] as those of painting consist of colors and those of music of sound. Facial expression and pantomime, soul, passion, fantasy . . . in the end all is just photography. And what photography cannot express the film will not contain.

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13 “‘Lichtspiel’ wird der Film genannt und letzten Endes ist er ja auch nur ein Spiel des Lichts. Licht und Schatten sind das Material dieser Kunst wie die Farbe das der Malerei, wie der Ton das der Musik. Mienenspiel und Gebärdenspiel, Seele, Leidenschaft, Phantasie . . . zuletzt ist alles doch nur Photographie. Und was die Photographie nicht ausdrücken kann, das wird der Film nicht enthalten.” Balázs, Der sichtbare Mensch, 139.
The director must be aware of his materials and what the film will not show. Balázs compares the
director’s dealings with these materials in filmmaking to the composer’s dealings with sound
materials in creating a musical composition:

[The film] must be devised with the vision of the director. In general, a film can turn out
really well only if the director “writes” it himself, creating it from his own material.
Likewise, a musician can never compose what a poet has devised. His muses are the
sonorous potential of his instruments, material, and technique. For the director
everything is readily available in the black-and-white shadow play (just as it is for
Michelangelo in a piece of rock), from which he only needs to help it emerge. Not even
the best film script can thus be sufficient for the director. It is exactly that which is
essential that [the script] can never contain because it still contains nothing but words.
But the material must show its will.14

To compose the FMI, Berg had to deal with many kinds of materials already at hand; his
compositional techniques, camera techniques, and the history of performances of Wedekind’s Lulu
plays (productions with or without the inserted projected film stills), to identify a few. But Berg
also had to create and choose his own materials; e.g., the serial materials he composed and
developed, the Film Music Scenario he devised, and the libretto he wrote. Berg exhibits a good
deal of control over his film by creating and combining these materials in the FMI. How he
juxtaposes the normal and the Other condition has been discussed to some extent already. In
addition to the web-like world he creates with his Film Music Scenario and film in which objects
and people become more closely related, the normal condition constantly contradicts the Other
condition. For instance, in mm. 670-678 (see Examples 1.4 and 1.5) fragments from Dr. Schön’s
row are used to form a melodic ostinato and become part of the musical foreground. The ostinato
occurs before, during, and after “the weapon” in mm. 675-676. But at the place the weapon is to
be shown, the ostinato is promoted from Nebenstimme to Hauptstimme. Dr. Schön is dead, and the

14 “Es muß mit der Vision des Regisseurs erdacht sein. Überhaupt kann ein Film nur dann
wirklich gut werden, wenn der Regisseur ihn selber ‘dichtet’ und aus seinem Material heraus
gestaltet. Auch ein Musiker kann niemals komponieren, was sich ein Dichter ausgedacht hat. Die
Klangmöglichkeiten seiner Instrumente, Stoff und Technik sind seine Musen. Auch für den
Regisseur liegt im Schwarz-weißen Schattenspiel, wie im Felsblock für Michelangelo, schon alles
enthalten, was er nur herauszuschälen hat. Darum kann auch das beste Drehbuch dem Regisseur
nicht genügen. Gerade das Wesentliche wird es nie enthalten, weil es trotz allem nur Worte hat.
Aber das Material muß seinen Willen zeigen.” Ibid., 54.
weapon—an object—represents him as well as the murder. Interestingly, in the analogous passage in mm. 692-704, an analogous weapon, “the instrument” (a syringe), is used on Lulu in m. 697. The FMI and its music make clear that Dr. Schön, the weapon, and the instrument are all penetrating instruments for Lulu. During this passage Dr. Schön’s ostinato is in retrograde and is demoted from *Hauptstimme* to *Nebenstimme* in mm. 700-701, when the medical “consultation” takes place. The ostinato in both passages is also penetrating objects that consist of jagged contours (two perfect fourths joined by a minor second) and take over the music.

That the objects and people featured in the film appear to be almost equal is only one perspective. But there are visual hierarchies in the film. Lulu is more important than any object or person in the FMI. The audience naturally accepts the people shown onscreen as more important than the objects in the film because they are people and because the opera provides a history of the characters who appear in the film.

From the analysis in Chapters 1 and 2, one knows that there are both visual and aural hierarchies in the music accompanying the film. The normal and Other conditions also work against each other here. The Other condition is present because the row materials that represent characters in both the opera and the film are also objects. It is also present because there are no precise distinctions between good and evil found in the music itself. But Lulu’s row material prevails in the music, making her more important than anyone or anything else in the FMI. And even though Berg can use all four row forms, he prefers prime and retrograde over inversion and retrograde inversion in the FMI. Nevertheless, there are important passages in which he allows inversion and retrograde inversion forms to prevail, as in the vicinity of the central axis in mm. 685-689 (see Example 1.2a).

For Musil, the Other condition in music also consists of expressive elements that are separate from any context and are sensed and felt emotionally. About music and the Other condition, Musil’s observation applies to the FMI:
There is in music an apparently complete world independent of the intellect, a pure sensing and feeling, and without doubt the other arts also display this heightened perceptiveness and responsiveness, which seem to run their course in a space in the soul that is hermetically sealed and walled off from the ordinary. . . .

In the same essay, Musil discusses the other condition in music. Music has expressive qualities that evade precise explanation or description:

But even when an art is turned in on itself as music is, full of objectless form, abnormally heightened feeling, and inexpressible meaning: at some point one asks oneself what it all adds up to, sets it in relation to the whole person, orders it for oneself in some way or other.

But Musil does not consider the score as a means for orientation in his observations about the other condition in music. His perspective here is that of the listener who considers the expressive qualities that cannot be explained or described precisely. Balázs, however, deals with the musical score and specifically the film music score in his monograph *Der Geist des Films* (1930), where he describes the score as an abstraction of the music:

Indeed, one can also read music from the score. Nevertheless, the score is not the music itself but its abstraction. The possibility of such an abstraction, however, is proof of the actual music's reality. The ground plan is an abstraction, the architecture is not.

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15 Musil, “Toward a New Aesthetic,” in *Precision and Soul*, 201-02.

16 Ibid., 204. This kind of criticism about art and music can be found in literary works about art that predate Musil. For instance, Paul Signac's *From Eugène Delacroix to Neo-Impressionism*, originally published as a series of articles in *La Revue Blanche* from May to July 1898 and then as a monograph in 1899, uses music to make a point about the viewing distance of art:

“'A painting is not to be sniffed,' said Rembrandt. When listening to a symphony, one does not sit in the midst of the brass, but in the place where the sounds of the different instruments blend into the harmony desired by the composer. Afterwards one can enjoy dissecting the score note by note, and so study the manner of its orchestration. Likewise, when viewing a divided painting, one should first stand far enough away to obtain an impression of the whole, and then come closer in order to study the interplay of the colored elements, supposing that these technical details are of interest.” Floyd Ratliff, *Paul Signac and Color in Neo-Impressionism*, with the first English edition of *From Eugène Delacroix to Neo-Impressionism* by Paul Signac, translated from the third French edition by Willa Silverman (New York: The Rockefeller University Press, 1992), 265. Signac's monograph is dedicated to his friend Georges Seurat. See Paul Signac, “La touche divisée,” chap. 5 in *D'Eugène Delacroix au néo-impressionisme*, with an intro. by Françoise Cachin, Collection savoir (Paris: Hermann, 1978), 125. See also Jack Flam, “The Enigma of Georges Seurat,” *The New York Review*, 7 November 1991, 25-26.

17 “Allerdings kann man Musik auch in der Partitur lesen. Aber die Partitur ist nicht die Musik selbst, sondern ihre Abstraktion. Die Möglichkeit solcher Abstraktion aber ist der Beweis
Balázs's use of the word “abstraction” shows that he is aware of its double meaning: the musical score is the source of the composer’s intentions, but at the same time it is an abstract entity associated with and dissociated from the music itself.

The score as ground plan for the FMI’s music can be used as a source for the listener’s orientation on many different levels: the score itself can be analyzed; the annotations provide information about what is to appear in the film as the music plays; the Film Music Scenario gives additional information for how the film is to correspond to the music or vice versa; and finally, the knowledge of the rows that represent characters in the opera and how they are constructed. The score—as deterrent for immediacy—enables the Other condition in the music to be much more easily perceived.

**Balázs and Musil: The Film Spectator and Berg’s Film Music Spectator**

In *Der sichtbare Mensch* Balázs contrasts the reputations of theatre and its descendent, the silent film. For Balázs, film’s lack of sound, isolation of images and actions, and reduction of visual space keep it from being thought of as an art on the same level as theatre:

> Above all, one is inclined to see in film a wayward and degenerate child of the theatre, and one views [film] as a corrupt and garbled degeneration, as a cheap substitute for the theatre that relates to genuine stage art as, for example, a photographic reproduction to an original painting. In both cases—so it seems—involved stories are presented by actors.\(^{18}\)

Despite having actors performing invented stories as a common element, film omits more than theatre and offers less to observe but more to infer.\(^{19}\) One year after “Toward a New Aesthetic” für die Konkretheit der eigentlichen Musik. Der Grundriß ist eine Abstraktion, die Architektur ist es nicht.” Béla Balázs, *Der Geist des Films* (Halle: Verlag Wilhelm Knapp, 1930), 131. This passage is indicative of a whole complex of issues (for instance, the score can be read without being played, but Berg’s FMI cannot).

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18 “Vor allem ist man geneigt, im Film ein mißtratene und verkommene Kind des Theaters zu erblicken, und ist der Ansicht, daß es sich hier um eine verdorbene und verstümmelte Abart handle, um einen billigen Theaterersatz, der sich zur echten Bühnenkunst so verhält wie etwa die photographische Reproduktion zum Originalgemälde. In beiden Fällen—so scheint es—werden ja erdichtete Geschichten von Schauspielern dargestellt.” Balázs, *Der sichtbare Mensch*, 37.

19 In “Toward a New Aesthetic,” Musil touches upon film’s ability to offer less visually, and this
Musil wrote the essay “Cinema or Theatre” (1926), in which he favored films that do not imitate the theatre.\textsuperscript{20} Musil discusses the mistake the earliest silent films made by imitating the theatre, contrasting theatre and film and emphasizing that film should not be used for the advancement or progress of theatre (or literature). Film should not make explicit what it offers the spectator, but rather present and exploit what it omits:

For the experiences of our senses are almost as conservative as theater directors. What is to be understood through \textit{seeing and hearing} (even if not at first glance) cannot be too far removed from what is already known. As incomparably as something unutterable may be expressed at times in a gesture, a grouping, a picture of feeling, or an event, this always happens only in immediate proximity to the word; as something hovering, so to speak, around its core of meaning, which is the real element of humanity. That is why all-too-radical attempts at reform are condemned to failure, not only because of their “boldness,” but because, unfortunately, they are also burdened with more than a little inner banality.

Something similar is also true of the “immediate language” of feelings, passions, and events in the theater. A stubborn prejudice insists that the human spirit and thought be reflected in these things on the stage, but not be allowed direct expression. Happily, film, in the phase when it was imitating the stage, produced such a babble of expressive gestures that it undermined the idea that passions and events speak for themselves and only need to be hung on the line. Even in one’s personal life the outer attitude of the mind is no more than a provisional and expressively meager translation of the inner attitude, and the essence of the person does not reside in his experiences and feelings but in his silent, persistent quarrelling and coming to terms with them.\textsuperscript{21}

In the conclusion of his earlier essay “Toward a New Aesthetic,” Musil delves further into film’s lesser reputation as art, in contrast to theatre and literature. Notice in the following passage that Musil is also dealing with film spectatorship:

\textit{"Above all--and one could complete in this paradoxical way every proof that film is art--what speaks for film is its truncated essence as an event reduced to moving shadows which nonetheless generates the illusion of life. Every art involves such a bifurcation. Silent like a fish and pale like something subterranean, film swims in the pond of the only-visible."} Musil, “Toward a New Aesthetic,” in \textit{Precision and Soul}, 194.

\textsuperscript{20} Musil, “Cinema or Theater,” in \textit{Precision and Soul}, 68-69. The editors and translators add this note preceding Musil’s essay “Cinema or Theater”: “As is most evident in the essay ‘Toward a New Aesthetic,’ he was one of the pioneers in taking film seriously as an art form that introduced new concerns into aesthetics.”

\textsuperscript{21} Ibid., 69.
When we look at a film, it unfolds the whole infinity and inexpressibility possessed by everything that exists—placed under glass, as it were, by the fact that one only sees it (there are exemplary instances of this in Balázs). In making connections and working out relations among impressions, on the other hand, film is apparently chained more strongly than any other art to the cheapest rationality and platitude. It appears to make the soul more immediately visible, and thoughts into experience; but in truth the interpretation of each individual gesture is dependent on the wealth of interpretive resources that the spectator brings with him; the comprehensibility of the action increases, the more undifferentiated it is (just as it does in the theater, where this is taken to be especially dramatic). Thus the expressive power increases with the poverty of expression, and the typicality of film is nothing but a coarse indicator of the stereotypical quality of everyday life. Because of that, it seems to me, film will always in certain regards be on a lower level than (and at a fixed distance below) the literature of the same period, and film realizes its destiny not as a deliverance from literature, but as sharing its destiny.\(^{22}\)

In the opera *Lulu* Berg faces the task of transforming opera spectators into film spectators. The audience is not only hearing the opera, but seeing it as well. After ii.1, rather than having the audience watch certain actions onstage, these actions shift temporarily to the *mise-en-scène* of a silent film. And as well as Berg’s opera transforms its opera spectators into film spectators during the FMI, Berg’s score transforms its readers into film music spectators.\(^{23}\) If film is, as described by Musil, a “coarse indicator of the stereotypical quality of everyday life,” Lulu is no longer just an object for the gazes of other characters and opera spectators; she is now an object within the gaze of the film spectator and the eye-gaze and ear-gaze of the film music spectator. One must also ask about the identity of the camera as it peers into this new world. Is this world (which is about Lulu) shown from the point of view of Alwa, Countess Geschwitz, or Lulu, or is it shown from an omnipresent point of view, detached from Lulu?

Balázs deals with spectatorship more deeply in his second monograph *Der Geist des Films* than he does in *Der sichtbare Mensch*, and with more detailed discussions than Musil. *Der Geist des Films* can be thought of as both a continuation and expansion of ideas discussed in his earlier monograph. In *Der Geist des Films*, Balázs makes his reader aware of the dynamic relationship

\(^{22}\) Musil, “Toward a New Aesthetic,” in *Precision and Soul*, 203.

\(^{23}\) The film music spectator has the score at hand, differing from the opera spectator.
between filmmaker and spectator. Filmmaking techniques are key to explaining how what appears on film differs from reality:

What do we see in film that we cannot see in the studio when faced with the same subject? Which are the effects that primarily emerge only in a roll of film? What is it that the camera does not reproduce but itself creates? How does the film become its own special language?
Through the close-up.
Through the angle.
Through the montage.

Of course, “in reality” we can never see things from the microscopic proximity shown by a close-up.24

Again, Balázs explores the idea that film isolates images and actions onscreen. The close-up and the camera angle appear more closely connected to each other in the following sections dealing with film theory and these techniques. Balázs is interested in montage as a visual impression and as a filmmaking technique known also as film editing. Balázs’s discussion about the montage and its relationship to the spectator will receive special attention here because of how he discusses the relationship between the filmmaking techniques and the spectator and how he draws a connection between montage and music.

Balázs begins his discussion about montage by explaining what montage does to events in the film and how the spectator experiences it:

The montage gives breath to the narration. Something is [either] presented broadly and leisurely in long played-out scenic images, or it is hastily chased in short ones. The excitement of the dramatic content is transferred to the spectator via the power of optical movement.25

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24 “Was sehen wir im Film, was wir im Atelier, vor demselben Motiv, nicht sehen können? Welche Wirkungen sind es, die erst im Filmstreifen primär entstehen? Was ist es, was die Kamera nicht reproduziert, sondern selber schafft? Wodurch wird der Film zu einer besonderen eigenen Sprache?
Durch die Großaufnahme.
Durch die Einstellung.
Durch die Montage.
Aus der mikroskopischen Nähe, in der uns die Großaufnahme die Dinge zeigt, können wir sie natürlicherweise in Wirklichkeit’ niemals sehen.” Balázs, Der Geist des Films, 8.

Balázs also calls the optical movement of film the “optical music”: “The optical music of the montage runs, in its own sphere, alongside the abstractness (Begrifflichkeit) of the content.”

Balázs’s separation of the montage from the film’s content is made more interesting here by his direct analogy to music: the optical music of the montage works as a kind of accompaniment to the film’s content and at the same time can behave on its own. Even in *Der sichtbare Mensch*, Balázs was aware of how film music might have a presence of its own alongside its accompaniment to the film: “Music conjures up other visions, which disturb those of the film when they come too close together.”

Even though Balázs finds that music is capable of evoking other visions, different from those that appear onscreen, he also finds that music is a necessary accompaniment, especially for silent film:

> Why do they always play music during the showing of a film? Why does a film without musical accompaniment have an awkward effect? Perhaps music functions to fill in the airless space between the characters, which is otherwise bridged by the dialogue. Furthermore, every movement entirely devoid of sound has an uncanny effect. It would be even more uncanny, however, if several hundred people sat together in a hall silent for hours in absolute silence.

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26 “Die optische Musik der Montage läuft in eigener Sphäre neben der Begrifflichkeit des Inhalts einher.” Ibid., 57.

27 “Denn die Musik weckt andere Visionen, welch die des Films nur dann stören, wenn sie zu nah zu einander kommen.” Balázs, *Der sichtbare Mensch*, 143. Kurt London also discusses how film music is capable of distracting the spectator from the picture: “In the course of the musical illustration of a film familiar or characteristic bars of music may have struck the filmgoer once or twice, but otherwise he could hardly have told you, especially in an instance of well-made film music, what he had really heard. Only at points where the music diverged from the picture, whether in its quality or meaning, was his concentration on the picture disturbed. Thus we reach the conclusion that good film music remained ‘unnoticed.’” See Kurt London, *Film Music: A Summary of the Characteristic Features of its History, Aesthetics, Techniques, and Possible Developments*, trans. Eric S. Bensinger, with a foreword by Constant Lambert (London: Faber & Faber, 1936), 37.

But even short films, of several minutes’ duration, would seem strange without musical accompaniment. The FMI would seem extremely strange if the music ceased for the duration of the showing of the film and returned again when the opera “resumed.” The silent film without musical accompaniment sounds just as strange in the fictional world of the opera as it would in reality.29

Rudolf Arnheim and Berg’s Dual Role as Scenarist-Director

Although we do not have enough evidence through Berg’s correspondence and essays about the making of the FMI in Lulu, the writings of the film critic Rudolf Arnheim, Berg’s contemporary, can enlighten us about Berg’s dual role as scenarist-director.30 While Berg worked on the FMI in the early 1930s, Arnheim was working as a film critic and assistant editor of cultural affairs at Die Weltbühne, a journal published in Berlin.31 Arnheim, who earned his Ph.D. in Menschen in einem Saal beisammen säßen, stundenlang schweigend, in absoluter Stille.” Balázs, Der sichtbare Mensch, 143.

29 Compare London: “To sum up, films, shown without a sound, on a plane, in a monotonous black and white, were in a manner of speaking dimensionless. The visual element alone and unsupported can never be sufficient substitute for an actual representation of life, and the film, to attain full artistic expression, must make use of more realistic media. So the need of sound or music was still felt, even when the primitive conditions of the early cinema had no longer to be reckoned with.” Film Music, 34.

30 I touched on these matters in “The Composer’s Montage and Veering Realities: Alban Berg’s Film, the Film Music Scenario, and the Score of the Film Music Interlude in the Opera Lulu,” paper presented at the annual meeting of the American Musicological Society Southern Chapter, Loyola University, New Orleans, La., 19 February 2000.

psychology upon the completion of his dissertation on the experimental psychology of visual expression, published *Film als Kunst* in 1933. The essays in this monograph date from the 1930s and center on the author’s idea that films are not meant to reproduce reality as one perceives it, but rather that good motion pictures ought to be understood as art from their very conception.\textsuperscript{32} In 1957, the author translated this monograph as *Film as Art*. Arnheim’s film theory not only has applications for understanding silent film, but also provides a contemporary voice about the silent film and film art. Berg’s montage can be viewed as an effort to produce film art according to Arnheim’s ideas about montage and film versus reality. In Arnheim’s terms, Berg is not just a scenarist-director but also a film artist.

In chapter 2, “The Making of a Film,” Arnheim’s description from the 1933 essay of what a film artist does fits Berg well: “He shows the world not only as it appears objectively but also subjectively. He creates new realities, in which things can be multiplied, turns their movements and actions backward, distorts them, retards or accelerates them.”\textsuperscript{33} Berg’s control of the film in the opera *Lulu* creates new realities in which parallel events, actions, and images take place (see the Film Music Scenario in Figure 2.1). The connections of these events, actions, and images are as evident in the film as they are throughout the opera. And the insertion of the film into the opera creates even more new realities than the opera would have offered without the moving picture.

For Arnheim the new realities created by the film artist are not reproductions of reality: true film art avoids reproducing reality by exploiting innovative cinematic techniques. As


\textsuperscript{33} Ibid., 133.
Arnheim puts it, “I undertook to show in detail how the very properties that make photography and film fall short of perfect reproduction can act as the necessary molds of an artistic medium.”

In “Film and Reality,” Chapter 1 of *Film as Art*, Arnheim considers the properties responsible for making early film fall short of perfect reproduction or duplication of reality. These properties are described in Arnheim’s subsections: “[R]eduction of depth,” “lighting and the absence of color,” “delimitation of the image and distance from the object,” “absence of the nonvisual world of senses,” and “absence of the space-time continuum.” “Reduction of depth” is one main difference between film and reality. Unlike reality, film hovers between being two and three-dimensional. Enough information must be given for the three-dimensional image to be perceived on film. In addition to creating three-dimensional images, the images exist within a plane that can be divided into upper and lower screen. “[R]eduction of depth,” according to Arnheim, also affects the constancies of size and shape, which disappear when the three-dimensional impression is lost.

“Lighting and absence of color” in the early motion picture differs obviously from reality, yet Arnheim points out that generally audiences readily accept black and white film without being upset about the difference. Arnheim adds to this observation:

not only has a multicolored world been transmitted into a black-and-white world, but in the process all color values have changed their relations to one another; similarities present themselves which do not exist in the natural world, things [sky and faces can be the same color, for example] have the same color which in reality stand in no direct color connection at all with each other or in quite a different one.

Lighting is crucial in film and helps determine shapes, backgrounds, and foregrounds.

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34 Ibid., 3.
36 Ibid., 15. The example in brackets is used later on in the same discussion.
37 Ibid., 15-16.
“Delimitation of the image and distance from the object” in film reduces the visual field of the audience compared to the visual field reality can offer. The viewer is visually confined to whatever is in the picture. Arnheim adds that this limitation is immediately experienced by the audience watching a film, which must instead give spatial information such as frames of reference for standards of comparison. Determining horizontal lines, distances, ranges of sizes, and focus all depend on the camera, the lens of the projection machine, spectator seating, and the size of the theatre.38

The “absence of the space-time continuum” began to exist in films especially after filmmakers were no longer concerned solely with film content. Arnheim explains that although time and space are not continuous in some films, the films can have their own continuity. This cohesiveness is achieved through emphasizing the main story, highlighting important actions, or directing the audience’s attention to certain objects that are significant to the film’s narrative.39

In film there is the “absence of the nonvisual world of senses,” which is strikingly different from reality. The silent film especially must compensate for the audience’s sense of sound, touch, balance, and--at unusual times--smell and taste. According to Arnheim these sensations in the silent film are only conveyed “indirectly through sight.” The film must give enough information.40

Arnheim’s observations about differences between film and reality lends well to describing the transition between Berg’s opera Lulu and the silent film. Considering the silent film’s “reduction of depth” first, the most obvious transition between the reality of the opera and the film is the action and characters on stage in contrast to the isolation of characters, actions, images, and events on screen. As an implication of any film-within-an-opera, some reality is lost. Specifically in Berg’s film-within-an-opera, the opera singers and actors play their roles within the film. But

38 Ibid., 16-19.
40 Ibid., 30-33.
did Berg consider the possibility that opera singers and theatre actors might not know how to act in front of the camera? In his 1934 essay, “Motion,” Arnheim explains why the actors and the director should be knowledgeable about film’s “reduction of depth,” which also affects the audience’s perception of expression and motion in films:

> It is the task of the actors and the director to emphasize the expressive qualities of motion and thereby to define the character of the entire film as well as that of the single scene and the single shot. In the same manner the various personalities in their similarities and differences will be defined visually. Even on the stage, motion is thus exploited artistically; but this is all the more true for film, where things appear closer and sharper and where the direction and speed of each motion is set off clearly by the narrow rectangular frame of the image.41

In fact, Kurt List’s review suggests that at the 1937 premiere of *Lulu* in Zurich, neither the opera singers and actors nor the film director were knowledgeable about “reduction of depth,” film acting, and motion: “The coarse naturalism on the stage, the too literal action of the performers in the movie written by Berg for the middle of the drama, acted as in the primitive beginnings of the silent film, fell completely out of the frame, and destroyed the meaning of the work.”42

Differences in color between the reality of the opera and its film are also distinct. And the black and white film provided a striking contrast in color between the stage and screen during the premiere of *Lulu*. Lulu and the supporting actors of the film are suddenly in black and white; color contrasts onscreen differ from the stage. They must rely more heavily on their facial expressions as silent film actors than they do in their theatrical reality. Lulu’s facial expressions in the film, for example during her “hope for acquittal” and then “diminishing hope,” are emphasized by Berg’s use of contour in the *Agitato* and *Sempre agitato* sections of the FMI.

Studio lighting in film is generally different from theatrical lighting and therefore the lighting used in the film differs from the stage lighting used in the opera. Arnheim explains how crucial lighting is to determining shapes and backgrounds and foregrounds in film: “Indeed a

41 Ibid., 182-83.
shadow often acts as the announcer: it appears before the person throwing it comes on the scene, and by this means directs the audience’s interest and attention to whatever is approaching.”43 And in the Agitato and Sempre agitato sections of the FMI, as well as in the vicinity of the central axis in m. 687 (see Examples 1.2a and 1.2b), Berg suggests Lulu’s “shadow” through his score annotation and Film Music Scenario.

Arnheim’s observations about the “delimitation of the image and distance from the object” can also be applied to this closer look at the transition between the reality of the opera and its film in a general sense. The opera audience has a more realistic range of vision than the film spectators. Berg’s indications in the Film Music Scenario allow for certain objects, such as the weapon, to be shown in the film’s foreground. The distance between the object and the audience as well as the focus of the lens depends on the director of the film and the camera operator.44

In both opera and film there can be an “absence of the space-time continuum.” Arnheim contrasts theatre to film by explaining that film can take greater liberties with space and time than theatre can.45 The film in Lulu has continuity, showing the audience images, actions, and events that would be difficult to be shown using the space of the stage. Two specific examples that could not be easily shown on stage are the police vehicle and the ambulance traveling towards their destinations.

Another transition between the reality of the opera and the film is the film’s “absence of the nonvisual world of the senses.” Suddenly the audience can no longer turn their heads to see certain actions on stage. Instead the film demands their gaze as the camera compensates for the audience’s nonvisual senses.46 Though Berg’s music does not compensate for the loss of the

43 Arnheim, Film as Art, 79.
44 Ibid., 73-85.
46 Ibid., 102-03.
singers' voices and words, it offers another medium that is capable of complementing the actions in the film while at the same time possessing its own presence: music.

In addition to the transition between the reality of the opera and the film, Berg's putative montage could also offer new realities. Arnheim's observations from his 1933 essay “The Making of a Film,” in Film as Art, will be applied to this analysis of Berg's montage. Here, Arnheim states that in montage “actual events are changed, new realities are created.” For example, Berg would have to control the “time-space continuum” successfully in the film as well as in his music. The number of measures Berg assigns per image and action creates only a kind of “time-space continuum” within the music accompanying the film. Another kind of “time-space continuum” can be found in Berg’s montage. In the following quotation, Arnheim describes how the film artist uses montage in films that are similar to Berg’s film:

In montage the film artist has a first class formative instrument, which helps him to emphasize and give greater significance to the actual events that he portrays. From the time continuum of a scene he takes only the parts that interest him, and of the spatial totality of objects and events he picks out only what is relevant. Some details he stresses, others he omits altogether.

Returning to the Film Music Scenario (see Figure 2.1), one finds that Berg creates the film’s “time-space continuum” by sometimes omitting how Lulu and the other characters get from one situation to another. Arnheim’s discussion about montage, expresses the challenges faced by the film artist:

It was a much bolder stroke to intervene in one unitary scene, to split up an event, to change the position of the camera in midstream, to bring it nearer, move it further away, to alter the selection of the subject of the subject matter shown. This has up to present been the most vigorous and stimulating move toward the emancipation of the camera.

The year and a half in prison is not represented by a caption in the FMI, but by a fermata (see Examples 1.2a and 1.2b). Berg uses filmic montage to bring the many images, actions, and events


48 Ibid., 89.
together, but he also faces the danger of having the fluidity of his film fall apart, a failed montage.

Arnheim discusses how this danger arises for the film artist:

> Since montage separates things that are spatially continuous and joins together things that have no inherent space-time continuity, the danger arises that the process may not be successful and that the whole may disintegrate into pieces, which the spectator cannot combine according to the artist’s plan.\(^5^0\)

As discussed in Chapter 2, from the Film Music Scenario and the annotations in the score, it is clear that Berg controls his putative montage and at the same time leaves certain artistic decisions up to the actual filmmaker. The putative montage exhibits the film editing techniques cutting to continuity and classical cutting and that a close following of Berg’s instructions and parameters should not lead to primitive results, but rather to film art that offers new realities.

The Agitato and Sempre agitato sections in particular are composed of no other row material than Lulu's own. The music tells the audience that the film is all about Lulu. Berg is also giving Lulu the opportunity to be a star in a motion picture. Keeping Arnheim’s operating thesis in mind, one concludes that Berg’s opera, representing a world within a world, consists of a film that cannot reproduce the opera’s own reality. The audience so easily trusts the film as a continuation of the opera’s narrative that it almost fails to ask “is this really happening to Lulu?” The film certainly introduces the film spectators to new realities. And Berg deliberately makes these new realities, which can veer so dramatically from the reality of the opera, not by exploiting film with color and sound, but rather by inserting a silent film featuring the composer’s montage and starring Lulu as herself.

**The FMI’s Film as Crime Film: Early Film Theory on this Genre**

The previous section shows how the FMI’s film offers new realities through the application of Arnheim’s early film theory writings. One possible reality is that Berg's fictional film is a crime film that provides a documentary-like depiction of what takes place and what happens to Lulu after she murders Dr. Schön. The crime film is one of the oldest genres in film,

\(^4^9\) Ibid., 89.
receiving attention in essays since the early 1900s. Though the crime is sometimes presented explicitly in the crime film, it is rarely the most important event. The crime film often spends a good deal more time dealing with what leads up to the evil deed and its aftermath, engaging the audience as well as the characters in the film to investigate who is responsible, and exploring boundaries that exist between perpetrators, instigators, and innocent bystanders and between criminal existence and normal life. In the crime film it is typical that the perpetrators are identified and their punishment depicted to some extent in the crime film.

Berg’s film does not show Lulu murdering Dr. Schön, although the opera does. The crime takes place before the events shown in the FMI’s film. At the beginning of the film Lulu’s detention makes the audience aware that she is being accused of a crime (murder). The following trial leads to Lulu’s sentence and imprisonment. Later the film shows that Lulu escapes her punishment. The opera spectator turned film spectator is forced to recall his or her reading(s) of Lulu’s character and her past actions in the opera: is she a cold-blooded serial murderer with multiple means for killing her prey (those attracted to her like moths to a flame)? Is she a serial killer who cannot control herself (a plea of insanity is present in this reading: her dreadful past and present situations drive her to mindlessly kill those attracted to her)? Or is she actually a victim who kills out of self-defense (placing the weapon in her hand and attempting to

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50 Ibid., 91.

51 “Crime film” is the name of the genre that was used in several early essays about film. It consists of many subgenres such as the gangster film, the detective film, the street film, and (in the 1940s) the film noir. For instance, see Arnheim, “The Making of a Film,” chap. 2 in Film as Art, 52. Here, Arnheim discusses how the camera angle is used in the film The Mysterious Lady (1928), starring Greta Garbo (1905-90). In one particular scene—a bit similar to the scene before the FMI—military guards knock on the door after Garbo’s character, a Russian spy, kills their general.

52 In mm. 664-665 Berg’s annotation indicates that Lulu hopes for an acquittal. Is this a wish to be proven innocent or to escape punishment? There is no indication in the film or in Berg’s annotations that Lulu has remorse or any desire to repent. Her “dwindling hope” indicated in m. 667 shows that she is only concerned about escaping punishment.
have her kill herself, Dr. Schön either believes that she would follow through without a fight or is aware that she would choose to kill him in self defense)?

As the protagonist—and perhaps the viewpoint character—of both the film and the opera, Lulu either evokes sympathy from the audience or at least the audience knows that regardless of her behavior the world is centered on her. The monograph *Movies, Delinquency, and Crime*, by Herbert Blumer and Philip M. Hauser (1909- ), is a sociological study in which the authors deal mainly with delinquents or young criminals as film spectators; however, their observations can be applicable to any kind of film spectator:

> The portrayal of the criminal fighting against tremendous odds, being apprehended through the use of the despised “stool pigeon,” and finally losing his battle to be subjected to punishment, suffering, and hardships, often awakens the sympathy of observers and leads them to entirely miss what is meant to be a deterrent influence.

Just prior to the showing of the film, the dutiful son Alwa can be seen as a “stool pigeon.” One might conclude that if Alwa did not keep Lulu from escaping the scene of the crime in ii.1, there would probably be no film.

Those who are more sympathetic to Lulu would not find the following passage from Blumer and Hauser to apply only to delinquent and criminal spectators. If Lulu is understood as the victim here, then the police and all aspects of authority represented in the film can be perceived as enemies:

> The punishment of offenders in motion pictures may incite intense resentment on the part of delinquent and criminal observers. Instead of a deterrent influence in such

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53 In the British monograph by Huntly Carter, *The New Spirit in the Cinema*, the author writes about the American crime film: “The game portrayed by the camera is played in such a way that the audience is invited to take part in it. It sits watching the moves and taking part in them, as in a game of chess, without being able to say with absolute assurance what the end will be.” See Huntly Carter, *The New Spirit in the Cinema*, The Literature of Cinema (London: Harold Shaylor, 1930), 196. As discussed above, in *Lulu* it appears that the game is instigated by the film’s content, but involves facts that take place before the showing of the film.

situations, the person has distinctly hostile reactions to punishment and to the agents who administer it.\textsuperscript{55}

And the onscreen punishment of the protagonist, along with her suffering, is bound to appeal to the sympathies of even the most hostile spectators set against Lulu. The film offers an additional opportunity to lose oneself, to temporarily forget what is right or good, and to go as far as to be supportive of Lulu and her actions against the authorities who imprison her:

The chief characteristics of emotional possession may be mentioned here: the inciting of impulses, the arousing of a given emotion, a relaxing of ordinary control, and so an increased readiness to yield to the impulses aroused. These states of mind and feeling come, usually, as a result of the individual “losing himself” in the picture, or becoming deeply preoccupied with its drama or movement.\textsuperscript{56}

The spectator can lose himself or herself in the film to the point of believing that Lulu’s punishment makes her escape desirable. The close-ups of her ascending and diminishing hope, her resignation, and her awakening will to live (among other close-ups discussed already in Chapter 2) might be made to be so convincing that some members of the audience do not realize that she actually does commit a crime in the film: she escapes from prison, with the help of Countess Geschwitz and the helpers who thus become her accessories. This crime is far less serious and violent than the murder of Dr. Schön. Her escape might give hope to the naive film spectator that she will make her life better or at least effect change in it so she stays out of trouble. The film spectators, who have watched the opera this far, however, know enough about the main character of the opera. Lulu had a spectacular life before being apprehended by police and detained by authorities. Perhaps some film spectators are led to believe that she earned her inheritance and deserves every penny after dealing with the horrors of poverty, the deaths of those who loved her, and especially after her husband Dr. Schön’s cruelty. Other film spectators might believe that they know enough about Lulu to conclude that she is nothing more than a have-not who did not earn

\textsuperscript{55} Ibid., 131.

\textsuperscript{56} Ibid., 46-47.
her money honestly in order to get out of her situation. Blumer discusses this latter mentioned perspective:

It is of interest also to notice how one’s attitude may change as a result of disillusionment about the reality of a picture, or about its presentation. It very frequently happens that some knowledge concerning the technique of production, such as the use of artificial backgrounds, tricks of the camera, the “shooting” of consecutive scenes at different times, will come as a surprise to a youthful moviegoer and cause him to depreciate a picture. Again, information about the private lives of motion picture stars and their relations to one another may strip pictures of much of their glamour.57

Blumer implies that it is not just the film’s content that can lead to its depreciation, but also its form and extra-textual information (information or news about the stars, director, the making of the film, etc.). The very same technical aspects that exploit Lulu’s expressions and aim to attract more sympathetic film spectators can thus be seen as repulsive by those film spectators who also know her.58 With Lulu as the main character, Berg’s film also appears to have some elements that


58 The sympathetic film spectator who sides with Lulu would be characterized by Blumer as experiencing emotional possession. The film spectator who finds Lulu and her behavior repulsive and is not fooled by the film as a voyeuristic opportunity would be characterized as experiencing emotional detachment:

“Opposed to the condition of emotional possession stands an opposite state which may be called emotional detachment. In emotional possession one is, so to speak, at the mercy of the picture; in emotional detachment one immunizes himself to its grip. Consequently emotional detachment becomes a method of control over one’s reactions. One who approaches the picture in this latter state discounts its character and resists its emotional appeal; whereas in emotional possession one has surrendered himself to the movement of the theme and to the appeal of the scenes.” Ibid., 129. In a later passage, Blumer explains the causes of the film spectator’s emotional detachment:

“Emotional detachment is attained by building up certain attitudes which serve to fortify the individual against captivation by the picture. The attitudes which usually yield this emotional detachment are cynicism, scorn, analysis, indifference, superiority, or sophistication. The last two seem to be most common. They do not mean necessarily that interest is lost in the type of picture to which they are directed, but merely that the emotional or sentimental features are subject to a judgment which lessens their appeal.

“The attitude of discounting a picture seems to arise from any one of three sources: first, through instruction, or the gaining of knowledge or experience which makes one feel somewhat superior to the kind of behavior depicted in the film; second, through response to the attitudes of one’s group when such attitudes depreciate a certain type of picture or belittle a certain naïve reaction to a picture; or third, disillusionment which causes one to question the reality of what is being displayed.” Ibid., 131.
foreshadow *film noir*, an outgrowth of the crime film that emerged as a major film genre in the 1940s. From the opera, the film spectators already know Lulu as a *femme fatale*, who leads all who love her to ruin.\(^{59}\) In the film, her lovers are drawn, without any reciprocity from her, to commit a crime by helping her escape. As with *film noir*, the production cost of this film would have to be very low in comparison to other films.\(^{60}\) With most events shot inside, the settings far removed from the rooms in Dr. Schön’s elegant mansion, and by employing the performers from the opera, Berg’s putative montage evokes the B-grade film. It is this kind of film that leads to its own depreciation by the film spectator. The opera house is sullied by the film’s presence.

Very much secondary to Lulu and all that happens to her, Berg’s film also explores the boundaries between perpetrators and bystanders, especially with Alwa, Geschwitz, and with everyone else who plays a double role here (the witnesses who prosecute Lulu during the trial are the same as the helpers during the medical consultation, and the judge and jury are the same as the doctors and students).\(^{61}\) Though Berg’s film is not a detective film, it has its double agents. The

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Emotional possession or detachment of the film spectator of Berg’s film is directly related to experiences in reality, what has been learned about the characters and their actions in the opera, and what is known about the kind of film being shown. But the first time opera audience gets no advanced notice from the opera that a film will be shown until it suddenly takes place. Only after the first few moments can one conclude that this film fits the crime film genre and this observation would be made more likely in hindsight.


\(^{60}\) According to Richard Abel, it was Georges Altman who might have been the first to attach “*film noir*” to the film genre: “‘For the first time, crime, suicide, and suffering take on a naked simplicity which . . . seems completely, fatally, integral to the black despair of a hopeless life.’” See Georges Altman, “*Le Jour se lève, film noir pur,*” *La Lumière* (June 1939): 4, and Richard Abel, ed., *French Film Theory and Criticism: A History/Anthology 1907-1939*, vol. 2: 1929-1939, (Princeton: Princeton University Press, 1988), 160 and n. 124, 178.

\(^{61}\) For more historical and analytical information about Berg’s use of multiple roles in *Lulu* see Patricia Hall, “The Interaction of Role and Form,” chap. 3 in *A View of Berg’s “Lulu” through the Autograph Sources* (Berkeley, Los Angeles, and London: University of California Press, 1996), 61-
most important double agents are Alwa (who is responsible for her arrest in the opera and appears at the beginning of the film to observe her punishment, but helps her escape at the end of the film) and Countess Geschwitz (who must be hurt that Lulu chooses Alwa, but makes the greatest sacrifice for Lulu by taking her place at the hospital).

There are many suspenseful features that make the FMI's music seem appropriate as music for a crime film. The most suspenseful features are the diverse tempi employed throughout, the opening trumpet fanfare with crash cymbals in mm. 656-658 (see Example 1.3), the unfolding canons and pitch climaxes in the Agitato and Sempre agitato in m. 667 (see Example 1.6) and m. 707, Dr. Schön’s ostinati in mm. 670-678 (see Examples 1.4 and 1.5) and the analogous passage in mm. 692-704, the passages marked Hauptrhythmus in m. 680 (see Example 1.7) and m. 694 and the standstill at the central axis or the fermata in m. 687 (see Examples 1.2a and 1.2b).

Schoenberg, Adorno, and Their Early Ideas about Film and Film Music

Berg’s teacher Arnold Schoenberg and his student Theodor Adorno, who both wrote about film and film music in the early twentieth century, deserve special attention for their possible influence on Berg’s ideas about film and film music. In a letter to Emil Hertzka (1869-1932), director of Universal Edition, Schoenberg responded to Hertzka’s request to know the composer’s terms for making a film project out of his drama with music Die glückliche Hand, Op. 18 (1908-13).62

For his sixth term, Schoenberg explained some details of the musical work that might work better

88 and chap. 9 in Gable and Morgan, eds., Alban Berg: Historical and Analytical Perspectives, 235-59. From Hall it appears that even the film is framed by Lulu’s crimes, whether they appear onstage or not: “in Act II, Scene 1, Alwa has a love scene with Lulu—then at her height of beauty and wealth as the wife of Alwa’s father, Dr. Schön. In Act II, Scene 2, Alwa has a similar scene with Lulu, now as emaciated cholera victim who has just escaped from prison. Alwa’s first love scene ends with her words, ‘I poisoned your mother,’ the second love scene with her question, ‘Isn’t that the sofa [on which] your father bled to death?’” See Hall, A View of Berg’s “Lulu” through the Autograph Scores, 80; and ibid., 252-53.

onscreen than onstage and expressed his interest in the potential of early film to represent his work cinematographically:

the basic unreality of the events, which is inherent in the words, is something that they should be able to bring out even better in the filming (nasty idea that it is!). For me this is one of the main reasons for considering it. For instance, in the film, if the goblet suddenly vanishes as if it had never been there, just as if it had simply been forgotten, that is quite different from the way it is on the stage, where it has to be removed by some device. And there are a thousand things besides that be easily done in this medium, whereas the stage’s resources are very limited.

My foremost wish is therefore for something the opposite of what the cinema generally aspires to. I want:

The utmost unreality!

The whole thing should have the effect (not of a dream) but of chords. Of music. It must never suggest symbols, or meaning, or thoughts, but simply the play of colors and forms. Just as music never drags a meaning around with it, at least not in the form in which it [music] manifests itself, even though meaning is inherent in its nature, so too this should simply be like sounds for the eye, and so far as I am concerned everyone is free to think or feel something similar to what he thinks or feels while hearing music. . . .63

Schoenberg’s desire for “the utmost unreality” and his interest in details that the camera can show that cannot be shown successfully onstage reveal an insightful knowledge of cinematography: his aim was not to reproduce Op. 18 as it would appear onstage, but to exploit the editing techniques to achieve artistic effects. He was correct in criticizing cinema of the time for often attempting to reproduce reality. The composer’s attraction to the notion of mixing film’s visual potential with aural elements of his musical works favored form to be emphasized over content, which, as with his music, should never be left to immediate apprehension.64 In addition to having overall control

63 Ibid., 100.

64 As discussed in the previous chapter, “immediate apprehension is only concerned with details and clearly juxtaposed relationships formed on the surface.” See Edward T. Cone, Musical Form and Musical Performance (New York: W. W. Norton & Company, 1968), 89-90. Schoenberg’s idea that the music should have its own presence in the film separate from what is seen onscreen is similar to his idea that text or words should not be followed too closely by the music as they are in many musical works in his 1912 essay “The Relationship to the Text,” in Style and Idea: Selected Writings of Arnold Schoenberg, ed. Leonard Stein, trans. Leo Black (New York: St. Martin's Press, 1975; reprint, London and Boston: Faber and Faber, 1975; Berkeley and Los Angeles: University of California Press, 1984), 141 and 144. Many writers have complained about imitative film music that accompanies the images and events too closely. For example, Romanian poet, writer, and scenario adaptor Benjamin Fondane (1899-1944) described how imitative music fails the silent
over the project, Schoenberg also wanted to have control over some visual effects of the film. Later in the same letter he explained that he would like for the black and white silent film to be tinted according to his own instructions: “Then, when the scenes are all rehearsed to the exact tempo of the music, the whole thing will be filmed, after which the film shall be colored by the film: “The silent film’s desire (albeit subterranean and stammering) was fairly perceptively of a catastrophic tendency: to abolish all speech, all logic that supports speech, and all conception of the human which is buoyed up by logic. Those who had come to understand the coded language of silent film took offense at its intertitles; and they found imitative musical sound irritating--this music that was so good at adding a supplementary text to what was complete in itself and needlessly duplicating the image.” Fondane, “From Silent to Talkie: The Rise and Fall of the Cinema,” trans. Claudia Gorbman, in French Film Theory and Criticism, 48 and 54. See also Benjamin Fondane, “Du muet au parlant: Grandeur et decadence du cinema,” in Bifur 5 (April 1930): page numbers unavailable; reprint in Benjamin Fondane, Ecrits pour le cinema, ed. Michel Carassou (Paris: Plasma, 1984), 71-85.

Hanns Eisler, Schoenberg’s student, explained the role of the film composer of the late 1920s: “A film composer was considered clever and useful if he understood how to ‘illustrate’ the action of the film. If a machine was shown on the screen, the music had to whir, if a man was walking along the street, the music had to walk etc.

“This principle of illustrating was supplemented by ‘sentimental’ and ‘picturesque’ music. The ‘sentimental’ was used to make the sorrow of a lover more sorrowful by means of appropriate music. The ‘picturesque’ were those abominable pieces of music which when green pastures were shown fell into a detestable sobbing, or became angry to suggest the roaring sea.” Eisler, “From My Practical Work: On the Use of Music in Sound Film,” in A Rebel in Music: Selected Writings, ed. and with an intro. by Manfred Grabs, trans. Marjorie Meyer (New York: International Publishers, 1978; Berlin: Seven Seas Books, 1978), 121-22. The editor’s note on page 125 reads, “this article was written for and published by the London magazine, World Film News, no.5, 1936.”
painter (or possibly only under his supervision) according to my stage directions."65 For reasons unknown, this project never materialized.66

In 1927 Schoenberg wrote the essay “The Future of the Opera,” and to him the future of opera included the silent cinema: “The future of the opera depends on the future of the drama, and both have new ways forced on them by the fact of the cinema, which can offer all the theatre offers except speech.”67 Schoenberg found that the visual qualities in opera cannot be compared to those of film. Over a decade after the letter to Hertzka, the composer was still interested in the color film and how opera can be reproduced cinematographically. But in this essay, he also considered the audience for these films:

[Opera] has less to offer [to] the eye than the film has--and color-film will soon be here, too. Add music, and the general public will hardly need to hear an opera sung and acted any more, unless a new path is found.

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65 Ibid., 101. Schoenberg’s desire to have the film colored by the painter reveals a good deal about what the composer knew and did not know about the colored silent film of his time. Employing a painter to color the film began in the late 1890s; since then, the film industry made stencils and used them to color the film in a method similar to theorem painting as well as relied on a number of mechanical coloring methods that had varying success by the early 1900s. It appears that Schoenberg’s desire to color the film would have been in many ways problematic: “An ordinary black and white film is taken, and then colored, in the same way that the photographic artist tints his portraits. If the work is skillfully performed the results are distinctly pleasing and effective. After one has been watching brilliant black and white pictures, the introduction of a colored film comes as a restful interlude to the eyes. The colored cinematograph film was introduced by Robert Paul, shortly after he established his studio. As lantern slides could be colored by hand with brush and paints, he saw no reason why a film 40 feet in length should not be treated in the same way. Accordingly he enlisted the services of an expert artist to make the experiment. But it was a laborious undertaking. A picture measuring only 1 inch wide by ¾ths of an inch in depth is a base of operations quite different from a lantern slide measuring 3¼ inches square. A magnifying glass had to be used, and a considerable length of time was needed to treat a whole film.” Frederick A. Talbot, “Animation in Natural Colors,” chap. 26 in Moving Pictures: How They are Made and Worked (Philadelphia: J. P. Lippincott, 1912), 287-89. According to the author, when the film measuring 400 feet or more came into vogue, it was understood that hand coloring was not feasible. The author also recalls that one particular film production firm would not color a film unless it was guaranteed that 200 copies would be sold.


Fortunately it is so expensive to make a film that producers will not be able to renounce widespread popular appeal. This again makes clear the need to seek some individual form for the newest art. The minority that can understand deeper things will never let itself be satisfied wholly and exclusively by what everyone can understand. This minority will always want art to match its power of comprehension. . . . So the drama of the future and the opera of the future cannot be art for the masses; and if the drama is to be a verbal drama, then the opera will have to be an opera of musical ideas.68

From the above passage it seems that Schoenberg envisioned that opera and film would work well together as long as these films aim to be artistic—satisfying the minority audience he mentioned—and contain musical ideas.

In 1930 Schoenberg completed Op. 34, Begleitungsmusik zu einer Lichtspielszene (Drohende Gefahr, Angst, Katastrophe) (Accompaniment to a Cinematographic Scene [Threatening Danger, Fear, Catastrophe]), which was music to accompany an imaginary film scene. No film scene was ever to be produced. It appears that the images aroused by the music are to be visualized instead of presented onscreen. In his essay “Schoenberg’s Super-Film Musik,” in the American journal Modern Music, Alfred Einstein (1880-1952) gave the impression that Schoenberg hit the mark in composing a work that cannot accompany a realistic film scene, but only an imaginary one. Einstein also remarked that with Op. 34 Schoenberg created a different modern film music that was not entirely accessible to the masses yet resembled his opera Von Heute auf Morgen for its Kitsch qualities:

It is a “modern” work but meaningless in any relation to the problem of music for the films. Threatening peril, terror and catastrophe are depicted, it is true; indeed it is music for a kind of super-production—but only for an imaginary, not a real, an actual setting. The expressiveness of the greatest actors could not meet the demands of this music.

But why “Music for a Movie?” Because that is what this music is. Music with a Schoenbergian flavor. . . . There is a wide discrepancy between the subject of this Begleitmusik and the manner of its presentation. Of late, notably in his latest opera Von Heute auf Morgen, Schoenberg has disclosed a marked penchant for artistic cheapness—what is called “Kitsch” in German studios; but of course he dresses this tendency in a consistently exclusive, non-popular style!69

68 Ibid., 337.

69 Alfred Einstein, “Schoenberg’s Super-Film Musik,” Modern Music 8, no. 3 (March-April 1931): 45-46.
Kurt London’s comment on Op. 34 was harsher than Einstein’s:

Arnold Schoenberg’s *Music for a Film Scene* is occupied with the problem of silent-film music, inasmuch as the music was not an accompaniment for any existing film scene, but was meant to act merely as a type of film music. Of course, Schoenberg’s composition, written in the twelve-tone system, would hardly have been seriously considered for the accompaniment of a film, because it represents in the most abstract form, a kind of treatise on the subject of film music which could be set for theoretical discussion in a concert hall, but never be adapted or subordinated in practice to a film scene.⁷⁰

Berg was fascinated with Op. 34. He wrote to Schoenberg, in a letter dated 24 April 1930:

I can’t get over the fact that you have written a score to a film scene. Was it composed for a particular film? Or is it something for general use (in the sense, say, of a comedy overture)? You can imagine how much I, too--personally as a composer--am preoccupied with the question of silent and talking films.⁷¹

And again on 18 May:

Another work finished: The *Lichtspielbegleitmusik* [sic]. I already own it, of course, and am--after just brief study--thrilled. Of course it is a complete work of art even without film; but wouldn’t it be wonderful if it could be heard synchronically (or whatever it’s called!) with a film created by you. If you were interested, it would surely be feasible in Berlin!⁷²

Berg’s remarks about Op. 34 might appear to show some naiveté on his part. It is clear that Schoenberg was perhaps more knowledgeable about films from a technical perspective and had much more sophisticated ideas about film music than Berg.

Before the above-mentioned correspondence between Schoenberg and Berg, Adorno finished his essay “Motifs” (dated 1930).⁷³ Instead of focusing on effective film music, Adorno was interested in writing about the use of film and film music in his criticism against the culture

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⁷¹ Brand, Hailey, and Harris, *The Berg-Schoenberg Correspondence*, 400.

⁷² Ibid., 402. Just prior to his remarks about Op. 34 in the above passage, Berg mentions that, after traveling and overseeing several performances of *Wozzeck*, he plans to return to composing *Lulu*.

industry in general and against the culture industry employed in music. In this early essay, Adorno was extremely negative towards the kind of film music that serves only as background music. In the following passage, he also attacked the *Kitsch* qualities of the cinema and their impression on the cinema audience and music listeners alike. Without knowing it, the audience ignores the film music even though they are listening to the film:

I once heard, in the great Galleria in Naples, cinema music coming from outside. It was not the jumble of posters that revealed the fact that it was coming from cinema: it was evident in itself. Not simply from the crude medley of tunes, but from the peculiar feeling that it was an accompaniment, even in the voices bearing the melody, a feeling that could not be explained in precise technical terms. This is how music sounds from which something is missing. But since it was not specially composed for the film, its interpretation turns towards the film. Confronted with the film, the melodies taken from exhausted operas are so drained of their force that they can only serve as background music. This is why they cannot exist for the listener as music, but exist musically only for the film. The music comes to the film because the latter is silent and it rocks the film gently into the darkness of the audience, even when it makes the gesture of passion. It is not meant for the audience. The listener only notices it when the film passes him by at a distance, separated from him by an abyss of empty space.

In essays that followed only a short time later, it becomes evident that Adorno’s attitude towards film music and the cinema was not purely negative. At times he recognized that these *Kitsch* elements of the cinema were sources of enjoyment, sometimes showing both enthusiasm and disappointment over the successes and failures of the silent and sound cinema. Later in his essay “Commodity Music Analyzed,” which was written between 1934 and 1940, Adorno used film and film music to praise or to criticize certain musical pieces. For instance, his criticism of

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74 In Adorno, *Quasi una fantasia*, 42, a footnote offers information about the ‘culture industry’: “‘Culture industry’ is a term used by Adorno and Max Horkheimer in their *Dialectic of Enlightenment* to refer to modern popular culture and indeed all the products of the electronic media. Since the culture industry represents ‘the triumph of invested capital’ it was regarded as the antithesis of all true culture whose function is to negate the existing social order.”

75 Adorno, “Motifs,” in *Quasi una fantasia*, 18-19.

Charles Gounod’s *Ave Maria* in his *Méditation sur le Prélude de Bach* compared the musical work to *Kitsch* elements of film and film music:

You say Bach, but you mean Gounod. You have the rigorous prelude, but what you really respond to is the soulful melody. On the organ for preference, but with the violin obligato in the vocal part. It is the birth of the Wurlitzer from the spirit of Faust: archetypal cinema music.

Its basic gesture is supplication in pious self-abandonment. The soul delivers itself into the hands of the Almighty with uplifted skirt. This is how Henny Porten pleaded for mercy. One of her earliest films was *The Parson’s Daughter*. It ended in death. 77

Adorno’s attacks on *Kitsch* elements are more humorous than the previously mentioned passage: he connected the *Kitsch* elements of Gounod’s musical work to the Wurlitzer organ and to film and film music. To Adorno, these characteristics are products of the culture industry. Adorno did recognize, however, that conventionality is a source of enjoyment. 78 In the next passage, Adorno used the cinema again to attack *Kitsch* elements in music, but this time he remarked that the film as dream machine, the shop girl, and the idealized wish-fulfillment all enable people to listen to music emotionally:

The belief of the popular social psychologists that the film is a dream-machine and the happy end a wish fulfillment misses the point. The shop girl does not directly identify herself with the glamour girl dressed up as a private secretary who marries the boss. But when faced with this good fortune, and overwhelmed by its mere possibility, she ventures to admit to herself what the entire organization of life normally prevents her from admitting: that this good fortune will not be hers. What is taken for the wish-fulfillment is the meager liberation which consists in the realization that you do not have to deny yourself the most minimal degree of happiness, namely the knowledge that happiness is not for you, although it may be. The shop girl’s experience is like that of the old mother who sheds tears at someone else’s wedding, blissfully conscious of the happiness she herself has missed. Even the most stupid people have long since ceased to be fooled by the belief that everyone will win the big prize. The positive element of *Kitsch* lies in the fact that it sets free for a moment the glimmering realization that you have wasted your life.

All this applies to music with even greater force. Most people listen emotionally: everything is heard in terms of the categories of late Romanticism and of the commodities derived from it, which are already tailored to emotional listening.

77 Adorno, “Commodity Music Analyzed,” *Quasi una fantasia*, 37. The sections of this essay are dated between 1934 and 1940.

78 Ibid., 42-43.
Their listening is the more abstract the more emotional it is: music really only enables them to have a good cry. This is why they love the expression of longing more than happiness itself.\(^7\)

In Adorno’s “Experiences with Lulu,” the first essay is about the 1935 London performance of the Lulu-Suite under Sir Adrian Boult.\(^8\) It is evident from his treatment of the FMI that Adorno did not believe that it served merely as background music to accompany a film. He praised the FMI—without mentioning Kitsch or products of the culture industry—as part of what he considered a beautiful musical work:

If one is looking for details there could be no more beautiful example than the very beginning, the eight introductory bars—the kind of sadness and bliss present only in the promise of beauty itself. These bars will one day be regarded as the definitive expression of the unquenchable pain that seizes us in the presence of the beautiful, just as Schumann’s tone embodies loneliness amid great festivities. After that the breathless, hurried film music, as virtuosic as a career, evanescent as fireworks, stopping short midway. . . .\(^8\)

Conclusions

The many passages concerning film and film music in this chapter appeared in seminal writings about film theory and film music from Berg’s time. Emerging from the writings about film theory are several kinds of film theories that are still evolving today. These film theories include methods from auteur criticism, genre criticism, narrative criticism, and phenomenology.\(^8\) Because the FMI’s film is part of an expressionist musical work, a formalist approach (focusing on elements that diverge from reality) is more desirable than a realist one (focusing on realistic elements). Musil, Balázs, and Arnheim believe that form is content, paying very close attention to camera angles, montage, and what film as surface art omits. Their emphasis on the montage

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\(^7\) Ibid., 49-50.


\(^8\) Ibid., 124-25.

\(^8\) For basic discussions about applications of these theories to film, see Richard L. Stromgren and Martin F. Norden, “Film Theories and Critical Methods,” chap. 12 in Movies: A Language in Light
enables one to see how closely the editing of a film relates to the composing of film music and embraces auteur criticism, which places the director (in this chapter, Berg as filmmaker, scenarist, and composer) as the primary focus in the analysis of a film’s structure and style. Berg’s teacher Schoenberg also uses a formalist approach with discussing films or film music and with composing film music.

The use of genre theory in this chapter enables the FMI to be classified or categorized into fitting a couple genres of fictional film. The FMI consists of both filmic and musical elements that can be found in crime films, film noir, and documentary films. Of course, these observations must rely heavily on narrative and musical analysis of the FMI. The use of sociological studies on perceptions of crime films by Blumer and London leads to a deeper understanding of how audiences perceive crime film as well as the film music that accompanies films belonging to certain genres. Phenomenology, a philosophy that does not become widely used by film theorists and critics until the 1970s, is clearly manifest in Blumer’s writings as well as in Adorno’s and Eisler’s writings about perceptions of film music: their focus is often on the spectator, the audience, the listener, or the role of the composer rather than on the film or film music itself.

This integrated study of early writings about film theory and film music offers evocative applications to the FMI. Many different levels of interpretation presented in this chapter enable even more exciting historical contexts of the FMI to emerge. But no art can exist on theory alone. The next chapter deals with critical response to the FMI at the 1937 world premiere of the opera Lulu.

CHAPTER 4
CRITICAL RESPONSE TO THE FILM MUSIC INTERLUDE
AT THE 1937 PREMIERE OF THE OPERA LULU

Mention the name of Alban Berg to some musicians, and the fur flies.

Poor Berg! How happy he would have been to hear his work and witness its triumph! His life so humble, so hard, his endless labor without ever any artistic compromise, is an example of purity. Inexorable fate deprived him of this glory to which I am happy to pay homage.
Darius Milhaud, “Le festival de Zurich,” *Figaro*

The world premiere of *Lulu*, which took place on 2 June 1937 at the Zurich Stadttheater, called forth a large number of reviews that appeared in publications of both musical and general interest. These reviews provided information about the performance of the incomplete opera, the subject matter and music, the tone of the event, and who attended the performance. Most of these reviews featured critical response to the FMI. This chapter will analyze these reviews, investigating the nature of the critical response to and the reception of the FMI at its premiere. Here, excerpts from many of these reviews appear together with full bibliographic information in order to explore their content and, when possible, to learn about their authors. Critical attention focused on several elements of the FMI: the film content, the presentation of events in the film, the function of the film within the opera, and the film music. This chapter pursues which of these elements received the most critical attention, if any, and explores the critical reception of the FMI.

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2 “Pauvre Berg! Qu’il eût été heureux d’entendre son œuvre et d’assister à son triomphe! Sa vie si modeste, si dure, son incessant labeur sans jamais aucune compromission artistique, est un exemple de pureté. L’inexorable destin l’a privé de cette gloire à laquelle je suis heureux de rendre hommage.” Darius Milhaud, “Le festival de Zurich,” *Figaro*, La musique, 14 June 1937, 5. As with other composers of his time, Milhaud wrote many essays for this newspaper.

Critical Response as Description of the FMI’s Function in the Opera and as Mere Synopsis

While most reviews of the FMI at its premiere consist of positive or negative criticism, the review in *Anbruch: Österreichische Zeitschrift für Musik* is devoid of criticism, positive or negative. The anonymous author of the review gave only a bare description of the function of the film as it pertains to the joining of content based on *Erdgeist* and *Die Büchse der Pandora*, two plays by Frank Wedekind: “A film that depicts the fortunes of the heroine of this opera connects the two parts.”

It is surprising that *Anbruch*, a journal devoted to modern music and aesthetics, provided only a description of the function of the FMI’s film with no mention of its music or its success or failure at attaining its goal.

The review in the *Berner Zeitung* explained the function of the film more specifically than the *Anbruch* review, telling readers where the film takes place in the opera plot:

> And now the composer bridges the following years through a film, which lets the trial, verdict, and imprisonment unreel before us. Lulu is able to flee from the prison hospital with the support of the unfortunate Countess Geschwitz, who has fallen in love with her.

Another example of a brief description of the FMI’s function, void of positive or negative criticism, is found in the magazine *News-Week*. This magazine, founded in 1933, has from its

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4 At the time this review was published, Paul Stefan (1879-1943) was editor of this journal. In the early 1930s the journal was known as *Anbruch: Monatschrift für moderne Musik*.

5 “Ein Film, der die Schicksale der Heldin dieser Oper schildert, verbindet die beiden Teile.” “Alban Bergs nachgelassene Oper,” *Anbruch* 6 (June 1937): 174-75. This review appears in the “Rundschau” of the journal.

6 The use of identifying critics only with initials or initial-like pseudonyms was common practice in newspapers and other periodicals. Where I have not been able to identify the authors, I retain the initials.

inception featured a section on arts and entertainment. In the review that appeared in this magazine, the description of the FMI’s function was mentioned within the synopsis of the opera:

Lulu’s nature is supposed to include “almost all the particularly feminine characteristics,” which in the Berg opus consists in never being satisfied with one man at a time. Variety and plenty of it appeal mightily to Lulu, with the result that her first husband dies of apoplexy. This starts her along a series of conquests spiced with suicidal deaths of her victims till she shoots one of her numerous husbands. Prison (Berg used a silent film for this phase), hard times, and a life of wandering follow, with Lulu getting less and less particular about her male companions. In London she becomes a prostitute and with a final flare of poor judgment lures into her home a stranger who turns out to be Jack the Ripper. The opera closes with Jack the Ripper disemboweling the heroine.

Although this synopsis may appear objective at first reading, the discussion of Lulu’s she-devil character possessed a negative tone, as did another passage from the review, presented as the first epigraph of this chapter. The anonymous author’s description of the function of the film contained no reference to the accompanying music. Considering that News-Week is a general interest publication, it is not surprising that the focus of the review was on the FMI’s film content rather than the music. Though it seems to be the author’s intent to summarize the opera, there was no mention that the film took place at the midpoint of the opera. The function of the film, according to the author of this review, was to show Lulu in prison. There was neither mention nor explanation of her escape.

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8 Newsweek, “History of Newsweek: Synopsis,” [web site]; available from “http://www.msnbc.com/m/nw/nwinfor_history.asp”; Internet; accessed on 1 January 2001, p. 1 of 2. News-Week: The Illustrated News-Magazine was originally published by Weekly Publication, Inc. of Dayton, Ohio while its editorial and executive departments were situated in New York. The title was changed to Newsweek before the magazine was bought by The Washington Post Company in 1961. Today, Newsweek often reports on “Society and Arts & Entertainment,” combining two sections that were originally reported in separate sections. The section also differs from the “Arts” section in News-Week by including news about popular art and music.

9 “Opera: Musically Streamlined Berg Thriller Has Swiss Debut,” News-Week, 26. The author described what happened in Act III without explaining that Act III was not staged. The scenes were not shown because the orchestration was still incomplete at the time of the premiere.

10 Ibid., 26. It is not until the very end of the review that the anonymous author explains that the European critics reported that in general the opera’s music possesses “‘surprising warmth . . . in much of the music as well as uncommon orchestral euphony and delicate new color effects . . .’”
Paul Stefan, the editor of *Anbruch*, was also a music critic and contributor to *Die Stunde* and *Musical America*.\(^\text{11}\) Stefan’s review in the *Neues Wiener Abendblatt* gave a brief synopsis of the film content, but gave little information about the function of the film:

> In the second act Lulu kills Dr. Schön, who has seen her in her terrible milieu. Then a film depicts Lulu’s conviction and escape from prison—she becomes infected with cholera, overcomes the illness, is supposed to flee, but falls in love with Dr. Schön’s son and he with her.\(^\text{12}\)

A more descriptive explanation of the function of the FMI appeared in the review in the *Frankfurter Zeitung*. This newspaper contains a fine and well-known section on art and music. The author focused on both the function of the FMI’s film and its music:

> The actual peripateia does not play itself out within the confines of the stage: film is drawn in to assistance, and the caesura, the dramatic midpoint, is to be sought in the music to the unreeling film, the music organized in strict symmetry; now the reversal of events in the fortune of the heroine begins.\(^\text{13}\)

The author touched upon the transition between opera action and film action as well, which, along with the explanation of the FMI as the midpoint of the opera, told more about its function than the quotation from *Anbruch*.

In his review in the *Schweizerische Musikzeitung*, Karl Heinrich David (1884-1951) also focused on the opera action and the film action and function:

> The composer combined Wedekind’s epic literary work divided between two evenings into a single play of three acts; the result is that the plot unfolds at cinematic

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\(^{11}\) Stefan succeeded Berg as editor in 1921 when *Anbruch* was known as *Musikblätter des Anbruch*. He also studied for a short time under Arnold Schoenberg. See Joan Allen Smith, “Biographies,” in *Schoenberg and His Circle: A Viennese Portrait* (New York: Schirmer Books, 1986), 285.

\(^{12}\) “Im zweiten Akt tötet Lulu den Dr. Schön, der sie inmitten ihres furchtbaren Milieus gesehen hat. Dann schildert ein Film Verurteilung und Rettung der Lulu aus dem Kerker—sie wird mit Cholera infiziert, überwindet die Krankheit, soll fliehen, verfällt aber dem Sohn Dr. Schöns und er ihr.” Paul Stefan, “Die Uraufführung von Alban Bergs *Lulu*,” *Neues Wiener Abendblatt*, 3 June 1937, 4.

speed: the dimension of the plot is so grand that film itself steps into the action as connector. This technique (derived from the sound film), which lets the many short but highly concentrated scenes play out one after another in rapid succession; this tempo, which now and then has something breathless about it--these appear to me to constitute the principal [aspect of the] Modern in this opera. Berg also draws many means of expression from the sound film: these painful sounding, long-drawn-out notes of the saxophone, of the vibraphone, which so aptly express the sadness and melancholy of the abandoned, uprooted, rejected woman.  

David, a Swiss composer and critic, was also the editor of this journal during the time this review was published. Unlike W. M., David found the tempo (or continuity) of the opera action to be borrowed from the cinema and it is this tempo (or continuity) that he identified as Lulu’s most modern trend. Though he provided no synopsis of the film’s content, he wrote briefly about the FMI’s music, describing how Berg used the sound film to cover particular means of musical expression; the emphasis here was how the composer used film for his music rather than how his music accompanied the film.

Alfred Rosenzweig’s review of Swiss composer Hans Haug’s Tartuffe and Berg’s Lulu in the Prager Presse provided an objective synopsis of the FMI that focused on both the film’s content

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and music as well as their function in the opera.\textsuperscript{16} According to Rosenzweig, not only the FMI connected the opera’s content based on the two Wedekind plays, it also connected Lulu’s ascent and descent in the opera as a whole:

In Berg’s opera \textit{Lulu} (Zurich Stadttheater), Lulu’s ascent takes place inexorably up to the death of the brute, Dr. Schön, the only one whom she truly loved. Here ends the \textit{Erdgeist} tragedy. And here we are at the midpoint of the opera, in the second act. Here an interlude begins, during which a film runs. [The film] depicts Lulu’s fate after Dr. Schön’s murder: how she is arrested, how she stands before the judge, how the characters of the play appear as witnesses, and how she lies in the cell and for the first time catches sight of her mirror image in a muck shovel, how she contracts cholera and ends up in the prison hospital from which she is freed in a fantastic manner through the efforts of Countess Geschwitz. At its climax, the film music begins to proceed in crab fashion, that is, to run backwards. And from there on Lulu’s decline also begins.\textsuperscript{17}

Despite such reviews that provided merely bare descriptions of the functions of the FMI, or synopses devoid of criticism, most critics who reviewed the FMI at its premiere took either a positive or negative stance. The tone of their reviews, whatever it was, permeated their descriptions of the FMI’s function and their synopses of its film’s content, as the next two sections of this chapter show.

\textsuperscript{16} Haug’s opera had its world premiere in Basel.

\textsuperscript{17} “Der Aufstieg der Lulu vollzieht sich in Bergs Oper \textit{Lulu} (Stadththeater Zürich) unaufhaltsam bis zum Tode Dr. Schön, des Gewaltmenschen, des Einzigen, den sie wirklich liebte. Hier endet die Tragödie “Erdgeist”. Und an dieser Stelle sind wir im Mittelpunkt der Oper, im zweiten Akt. Hier beginnt ein Zwischenspiel, während dessen ein Film abläuft, der das Schicksal der Lulu nach der Ermordung des Dr. Schön schildert, wie sie verhaftet wird, wie sie vor dem Richter steht, wie die Figuren des Stückes als Zeugen aufmarschieren und wie sie in der Zelle liegt und zum erstenmal in einer blanken Mistschaufel ihr Spiegelbild erblickt, wie sie die Cholera bekommt und ins Inquisitenspital wandert, aus dem sie dann auf phantastische Weise durch die Gräfin Geschwitz befreit wird. An ihrem Höhepunkt beginnt die Filmmusik krebsgängig zu werden, das heißt also zurückzulaufen. Und von da an setzt auch der Abstieg Lulus ein.” Alfred Rosenzweig, “Molière und Wedekind auf der Opernbühne: Zwei Uraufführungen in der Schweiz,” \textit{Prager Presse}, 6 June 1937, 12. Rosenzweig reviewed the premiere of \textit{Tartuffe} in one short paragraph whereas the bulk of the review (over three out of four short columns) was about the premiere of \textit{Lulu}.
Positive Critical Response to the FMI at its Premiere

As music critic, the composer Darius Milhaud (1892-1974) wrote prolifically about the premiere of Lulu.18 Milhaud rivaled Berg’s student, friend, and biographer Willi Reich in the number of reviews he wrote about this premiere. Reviews of Lulu at its premiere signed by Reich contained no information about the FMI. Unlike Reich, Milhaud made efforts to review the FMI as well as the opera at its premiere. And even when not mentioning the FMI specifically, Milhaud compared the opera to film. Milhaud, at the time best known as a member of Paris’s Les Six during the 1920s and for his artistic collaborations with the poet Paul Claudel--one of which resulted in the opera Christophe Colomb, Op. 102 (premiered on 5 May 1930 in Berlin), a grand opera in which Milhaud employed the cinema--wrote some of the most positive reviews of the FMI as well as of the opera itself.19


19 Christophe Colomb, an opera in two acts with 27 scenes or events, included several film projections that showed aspects of the opera that either could not have been staged easily or seen easily by the audience. Unlike Berg’s film, which depicted a number of events, Milhaud’s little films were projected as part of the staged events. Paul Collaer explained that Milhaud’s “use of film projections is not intended for stage effect only, but is supposed to add a spiritual dimension by enabling the audience to view the flight of the dove, the vision of the Holy Cross, and so forth.” See Collaer, Darius Milhaud, trans. and ed. Jane Hohefeld Galante (San Francisco, Calif.: San Francisco Press, 1988), 129, and “Darius Milhaud,” Current Biography: Who’s News and Why 1941, ed. Maxine Block (New York: The H. W. Wilson Company, 1941), 578-79. See also Christopher Palmer, “Darius Milhaud,” The New Grove Dictionary of Music and Musicians 12, ed. Stanley Sadie (London: Macmillan Publishers Limited, 1980), 305. The composer Aaron Copland wrote briefly about Milhaud as critic, remarking that “his music was more dissonant, his critical reviews more outspoken and his general revolutionary tenets more violent than those of any of the other young radicals who grouped themselves about Satie and Cocteau in 1919.” See Aaron Copland, “The Lyricism of Milhaud,” Modern Music 6 (January-February 1929): 14.
The premiere of the opera took place while the Milhaud family was vacationing in the Swiss town Les Mayens de Sion, in the canton of Valais.20 The Zurich Festival was probably as far from Les Mayens de Sion as one could go without leaving the country, but Milhaud had an interest in festivals, a friendship with Berg, and an interest in film music (particularly in opera); all were reasons for his attendance at the premiere.21 Milhaud had already written for many French newspapers and journals.22 Given the number of reviews by Milhaud about the premiere of Lulu, at least three for well known French newspapers, one wonders if Milhaud was the only French


21 Darius Milhaud, Notes without Music, 138. In this autobiography, the composer writes that just after the end of World War I Alma Mahler introduced both him and Francis Poulenc to Alban Berg at the Vienna Redoutensaal. He reported that both he and Poulenc had the “greatest admiration” for Berg. Later in the same monograph Milhaud discussed his experiences at the musical festival held in Florence (the Maggio Musicale Fiorentino), which was also an opportunity to meet both old and new friends. He explained that he and a group of composers, including Berg, Krenek, Malipiero, and Casella, would eat lunch in one of the trattorie and then would go on an excursion together. See also ibid., 232-33 and Milhaud, My Happy Life, 111-12; 172-73. In both autobiographies, Milhaud recalled visiting many festivals; there is an entire chapter devoted to festivals, “Congresses, Festivals, the ‘Sérénade’ and the ‘Triton.’” He also described his experiences visiting the 1937 International Exhibition in Paris and other exhibitions in “Round the Exhibition,” a chapter in Notes without Music, and “Around the Exhibition,” a chapter in My Happy Life. Both autobiographies reveal that Milhaud saw festivals and exhibitions as events that took place or were connected to important events in his life. For additional accounts of Milhaud’s knowledge of Berg, see Roger Nichols, Conversations with Madeleine Milhaud (London: Faber and Faber, 1996), 22-27. In this monograph, Milhaud’s wife Madeleine recalled that shortly after World War I Milhaud acted as patron and organizer of his “Salad Concerts,” in which Milhaud enjoyed mixing various musical genres such as jazz, neoclassicism, and serial music. The composers whose works were included in these concerts were himself, Maurice Ravel, Erik Satie, Béla Bartók, Igor Stravinsky, Arnold Schoenberg, Anton Webern, and Berg. She mentioned later that Berg and Webern liked her husband’s chamber symphonies and Le boeuf sur le toit (1919); the latter was composed with the films of Charlie Chaplin in mind. According to Paul Collaer, Berg had confirmed that he admired Milhaud’s music, in particular his symphonic works from the late 1910s to early 1920s, as he had written to Milhaud in a letter dated 23 April 1923. This letter is cited in Collaer, Darius Milhaud, (1988), 208-09.

22 Little has been written about Milhaud as music critic. Even his own autobiographical writings seem to lack detailed discussion of his success as music critic. According to the entry “Darius Milhaud,” Current Biography, 579, Milhaud had “made his mark as a music critic.”
music critic asked to write about this premiere, the only French music critic who wrote about this premiere, or the only French music critic who cared about this premiere.  

Milhaud’s reviews of the opera exhibited his positive impression of the work as well as the performance of the premiere. Even when he found the slightest fault with the performance, he excused it as he did in his review found in the journal *Marianne*: “The staging is noteworthy, the 1900 sets perfect; the interplay of the actors is perhaps a bit too forced in the style of the ‘prewar film,’ but Frank Wedekind’s libretto is certainly not fashioned to encourage an attitude of restraint.” From Milhaud’s brief description of the sets by Roman Clemens, whom he did not mention in this review, it was clear that they were intended to represent the time in which the action took place, but Milhaud did not inform his readers specifically of what he thought was noteworthy about the staging. When Milhaud compared the interplay of the actors of the opera to that of a prewar film, he was probably thinking of the characteristically hysterical or awkwardly exaggerated gestures by the actors in many silent films before World War I: for instance, a person is killed or a dead body is found and the actors witnessing the horrible scene react by sobbing and then draping themselves over the body. Also, the prewar film conjures up the images of an overly dramatic race to a weapon—a matter of everyone’s life and death in the *mise-en-scène*—and people piling over one another to get to it either to protect oneself or to kill one another. Interestingly, both situations can occur in *Lulu*.

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23 Milhaud mentioned that he was the only French musician at the premiere. Darius Milhaud, “Au Stadttheater de Zurich: *Lulu* d’Alban Berg,” *Le Soir*, 8 June 1937, page number(s) unavailable.

In his review “Le Festival de Zurich,” written for *Nouvelles Littéraires*, Milhaud not only commented about the FMI, but also about the opera as a whole, again comparing its drama to prewar films: “It’s a somber drama in which the deaths are as numerous as in plays of the post-Elizabethan decadence or prewar films.”25 Milhaud’s description of the film is interesting:

Here an admirable symphonic piece is commented on by a silent film, acted by the singers who perform this opera. In short, one sees the police, the arrest, the re-enactment of the crime, the court, the indictment, the prison, the hospital where Lulu, suffering from cholera, ends up recovering and from which she is rescued. At this point, one finds her on the stage again.

The intervention of the cinema is very impressive; it gives an extraordinary force to the dramatic action and enables the music to blossom into a paroxysm of romanticism of an incredible intensity.26

The first sentence of this quotation reveals that Milhaud perceived the film as accompaniment to the music instead of the music as accompaniment to the film. Most music critics did the opposite, even when they intended to focus on the music and the aural aspects of the performance. Milhaud responded to the FMI as a composer—a composer with experience in employing the cinema in opera—, believing that even though the spectacle of cinema was inserted into the opera the music was more important than the film. Though he focused on the music and praised it, Milhaud spent more time summarizing the film’s content. This summary, however, did not precede Milhaud’s critical response to the film’s content; it preceded his opinion that the function of the film in the opera was successful.

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26 “Ici un admirable morceau symphonique est commenté par un film muet joué par les chanteurs qui interprétent cet opera. On y voit en raccourci la police, l’arrestation, la reconstitution du crime, le tribunal, la condamnation, la prison, l’hôpital où Lulu, atteinte du choléra, finit par guérir et d’où on la fait évader. C’est alors qu’on la retrouve sur la scène.

“L’intervention du cinéma est très impressionnante; elle donne une force extraordinaire à l’action dramatique et permet à la musique de s’épanouir dans un paroxysme d’un romantisme, d’une intensité incroyable.” Ibid., 10.
In another review, written for the Paris newspaper *Le Soir*, Milhaud described the function of the opera, summarized the film content in fewer words than in his review for *Nouvelles Littéraires*, and praised the FMI’s music:

The cinema, too, intervenes to parade in front of us all the details of the action between a murder and an escape from a prison hospital (arrest, trial, prison, illness, hospital, etc.); the music can then devote itself fully to [the expression of the action]. And what a magnificent symphonic interlude is afforded us?27

This quotation helps the reader to understand how the film continued the drama of the opera. Though he did not explain here that the film was at the midpoint of the opera, he placed the film between a murder and an escape from prison. Milhaud praised the symphonic interlude without explaining what made it magnificent.

Of all the positive reviews of the FMI at the premiere, Milhaud’s reception was one of the most approving and sympathetic. Through his own reputation and by expressing briefly his positive impressions of the FMI at its premiere, it is possible that he encouraged readers to attend other performances of *Lulu* at the Zurich Stadttheater and to enjoy the FMI’s music as well as the film. As we shall see, he was not the only critic who responded positively.

Gd.’s review in the periodical *A. B. C* identified the FMI as one of the self-contained pieces of the opera and described briefly its musical structure. The reviewer did not seem to grasp the opera’s form, but he latched onto the film as a token of Berg’s interesting form:

Yes, it is perhaps more correct to say that he reinterpreted the chosen forms as motives than that he expanded the language of motives into one of forms. Even if set pieces doubtlessly exist in this opera--here one may think of Lulu’s strophic aria, her letter duet with Dr. Schön, the orchestral variations on Wedekind’s Lute Song, and above all the symmetrically running film music at the apex of the work, whose mirror structure symbolically accompanies Lulu’s rise and decline--the structure as well as the secrets of the twelve-tone technique must remain hidden to the uninitiated listener.28

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27 “Le cinéma intervient aussi pour faire défiler devant nous tous les détails de l’action entre un meurtre et une évasion d’un hôpital de prison (arrestation, procès, prison, maladie, hôpital, etc.); la musique peut alors s’en donner à cœur joie. Et quel prodigieux interlude symphonique cela nous vaut!” Darius Milhaud, “Au Stadttheater de Zurich: *Lulu* d’Alban Berg.” *Le Soir*, 8 June 1937, page number unavailable.

28 “Ja, est ist vielleicht richtiger zu sagen, daß er die gewählten Formen zu Motiven umgewertet, als die Motivsprache zur Formensprache erweitert hat! Sind auch geschlossene Stücke in dieser
The score and the Film Music Scenario make it clear that Berg did not want anyone--including an uninitiated listener--to fail at grasping the FMI's symmetrical musical structure. And though Lulu is an entirely serial opera, it was not based on strict application of the twelve-tone technique. Berg intended for the characters' serial rows to be recognizable, but they would not be so to the uninitiated listener.

In a review by P. Stf. (presumably Paul Stefan) in Die Stunde, the author found that the film did not compromise the powerful impression of the opera:

The first act with [its] three brief scenes, in which three men became inseparably ensnared in the webs of Lulu's fate, counts among the most gripping of the theatrical literature.

The second act, thus the last completed, is hardly inferior and neither does the interruption by means of a film impair its power. A music of tremendous expressiveness, however, never lives in selfish independence, but rather enhances the events on stage--one does not even want to experience this eerie sex tragedy without the music any more: its time as spoken play seems to have vanished.


29 Stefan was a writer and music critic for Die Stunde. His name was the only name that appears to correspond well with the abbreviated author’s name signed for this review. He is discussed earlier in this chapter as the editor of Anbruch and the author of a review in the Neues Wiener Abendblatt focusing only on the film content. The review was devoid of positive or negative criticism. It appears that whereas he signs his full name to the review in Neues Wiener Abendblatt, he hides it a bit by abbreviating it for Die Stunde. This might have been the paper’s policy rather than Stefan’s own doing.

30 “Der erste Akt mit den knappen drei Szenen, in denen sich drei Männer in den Netzen des Lulu-Schicksals unlöslich verstricken, gehört zu den packendsten der theatralischen Literatur.

“Der zweite, also der letzte vollendete, gibt ihm kaum etwas nach und auch die Unterbrechung durch den Film tut seiner Macht nicht Abbruch. Eine Musik von unerhörter Ausdruckskraft führt dennoch niemals ein egoistisches Eingelenken, sondern hebt die Vorgänge auf der Bühne--ja man möchte diese gespenstische Tragödie des Geschlechts gar nicht mehr ohne Musik aufnehmen: ihre Zeit als Prosastück scheint entschwunden.” P. Stf. [Paul Stefan], “Berg-Uraufführung in Zürich,” Die Stunde, 3 June 1937, 4. The essay was written for the Viennese newspaper.
This review differs from the one by Gd. in that Stefan mentioned that the music was not autonomous and his focus was not on the musical structure of the FMI.

An even more positive review of the FMI by E. Br., published in the Berne newspaper *Der Bund*, praised the FMI's music without mentioning either its function within the opera or the film's content: "And still, the moving greatness alone, the pure musical force and profound expression of Alban Berg's Interlude (already known as the *Lulu*-Suite), arouses a lively yearning for greater and closer familiarity with the wonderful work."31 The author implied that the FMI draws the audience closer to the opera, but gave no further explanation for the "pure musical force" or for the profound expression of the FMI.

In contrast to the reviews by Gd., Stefan, and E. Br., the review by Sp. in *Der Landbote und Tagblatt der Stadt Winterthur* ignored the music and its role in the FMI. Instead, Sp. focused attention on the premiere's film, its function, and its content:

"We must not forget, as an essential requisite of the performance, the outstandingly successful film, which--unreeling at the dramatic center of the heroine's fate--seeks to combine Lulu's active ascent with her reverting, passive fate as murderer of her spouse and finally as a streetwalker who becomes the victim of a sex killer."32 Sp. understood the importance of the FMI's film to the drama of the opera. Rather than focusing on the unpleasant content of the film, Sp. explained briefly the film's content and told his readers that the film is successful (at least) in respect to its function.

31 "Und doch weckt schon allein die ergreifende Größe, die rein-musikalische Gewalt und Ausdruckstiefe der Zwischenspiele Alban Bergs (bereits bekannt als Lulu-Sinfonie) eine lebendige Sehnsucht nach größerer, engerer Vertrautheit mit dem herrlichen Werke.” E. Br., “*Lulu* von Alban Berg: Uraufführung in Zürich,” *Der Bund*, 4 June 1937, 1. Notice that the author mistakenly identifies the FMI as the *Lulu*-Suite; more correctly, it was known from the *Lulu*-Suite. The FMI appears with its surrounding curtain music (an ostinato) as the Ostinato, or second movement, of the *Lulu*-Suite.

Fritz Gysi’s review in *Allgemeine Musikzeitung* is another positive review of the FMI. Gysi was a Swiss musicologist and music critic for *Allgemeine Musikzeitung.* Gysi focused on the function of the film:

A film had to help out where the tempo of the stage action is no longer able to follow the course of the rushing of events. This filmic intermezzo developed with amazingly logical consistency, as everything that fell into the realm of the carefully considered direction of Schmid-Bloss. One must not forget that *Lulu* has remained a torso.

Gysi did not clarify if the “logical consistency” of the FMI applied to the film’s continuity, the presentation of the events, the film’s function, or the music.

In the review of the FMI in *Volksrecht*, the author Lh. also commented on the function of the film, its music, and its success. The quotation below suggests that Lh. was also satisfied with the film’s continuity as well as the overall performance of the orchestra and characters involved in the premiere:

Very impressive in its fragmentary concision is the film reel shot under the direction of Heinz Rückert, connecting very precisely with the preceding action--and the events in the unfortunately unavailable pictures in the middle of the 2d Act sketched before our eyes--and the film is adapted very skillfully to the original incidental music by Alban Berg.

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33 Gysi earned his Ph.D. from the University of Zurich in 1913 and became a professor there in 1931.

34 “Ein Film mußte dort aus[h]elfen, wo das Bühnentempo dem Lauf der sich überstürzenden Ereignisse nicht mehr zu folgen vermag. Dieses filmische Intermezzowickelte sich mit erstaunlicher Folgerichtigkeit ab, wie überhaupt alles, was in den Bereich der von Direktor Schmid-Bloß überlegen geführten Regie fiel. Man vergesse nicht, daß die *Lulu* Torso geblieben ist.” Fritz Gysi, “Alban Bergs *Lulu*,” *Allgemeine Musikzeitung* 64 (1937): 394-95. Gysi’s information here is incorrect: Heinz Rückert directed the film, not Schmid-Bloß, who was the stage director.

Lh.’s remark about Berg’s music implies that the music, as film music, accompanied the film, but at the same time Lh. stated that it was the music to which the film was adapted. This remark is similar to those of David and Milhaud, who both perceived the composer as using the film to accompany the music rather than the other way around. Lh. used the term “Begleitmusik,” which suggests that the music is accompanimental; but one might consider that Arnold Schoenberg composed his *Begleitmusik zu einer Lichtspielszene*, Op. 34, in 1930 (some years prior to the FMI), and this work actually did not accompany anything.

**Negative Critical Response to the FMI at its Premiere**

Although several reviews suggested that the FMI at its premiere was successful to some extent, there were also a number of negative reviews of the FMI. The first excerpt in this section is from a previously mentioned review by David. As already mentioned in this chapter, David described the opera action and the film action and function. His descriptions of the FMI took place earlier in the review than his negative criticism of the FMI. Here, David attacked the FMI’s music, but he also suggested that the FMI’s music, the music that accompanied the film, was not even background music, but a “backdrop” of sound:

> In the second act, the situation becomes more obscure, and everything is no longer equally interesting. But the deepening of the musical expression will not be overlooked—as soon as Alwa enters, one cannot overlook the essential and psychological and musical meaning of the “Lied der Lulu,” before she becomes a murdereress. The film music functions more as [a] backdrop, but perhaps it was not a useless gimmick after all, [the backdrop] having been constructed so carefully (as a retrograde).36

David’s remarks about the FMI’s music are somewhat contradictory: the author found that the deepening of musical expression cannot be ignored, but at the same time the music worked as a

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backdrop of sound; then he added that the music was “not a useless gimmick.” It is interesting that he associated the notion of gimmick for the music instead of the film after explaining, earlier in the same review, that the cinematic speed of the action “constitutes the principal [aspect of the]
Modern in this opera is the most modern trend of the opera.”

Another critic who was concerned about the music accompanying the film, Herbert F. Peyser, asserted in his New York Times review that the film took the audience’s attention away from the music. Peyser agreed with David that the music that accompanied the film appeared to the audience to function as background music. But first he commented on the forms employed throughout the opera, followed by explaining how he perceived the musical structure of the FMI:

In Lulu, as in Wozzeck, moreover, he liberally toys with the learned forms of classicism. Opening the score at random you run across designations that leave you in amused wonder. “Trio, canon,” “Chamber music, nonet for woodwind,” “Sonata, transitional group, second subject, recapitulation,” “Monoritmica (a sort of ostinato),” “chorale”--and so on for quantity!

It is all a rather useless affectation, this labeling, except for the eye that tries to unravel the enormous complications of the score. In the theatre such things mean exactly nothing to the hearer, nor do they add a jot or tittle to the value of the music or to its emotional or pictorial effectiveness. Berg commentators have made much of the “symbolism” of the interlude, built on the principles of the old “crab canon,” which accompanies a silent movie shown between two scenes of the second act and depicts Lulu's arrest, trial, imprisonment and escape. Actually, the audience, engrossed in watching the novelty of a film in opera, is vaguely conscious, at the most, that the orchestra is playing something loud, fast and dissonant.

In contrast to David’s and Peyser’s focus on the FMI’s music, Uh.’s review in Neue Zürcher Zeitung was concerned only with the film and its function in the opera. The author, who

37 Ibid., 397-98.
38 Herbert F. Peyser, “Berg’s Posthumous Opera, Lulu,” New York Times, 27 June 1937, sec. 10: Drama-Screen-Music, 6 (N). The review appeared in the Sunday New York Times, with a Zurich dateline. It is evident that Peyser was confused about how the retrograde differs from the crab canon (the term “retrograde” might not have been used as much during the time and some composers might have used the word “Krebs” instead, which would lead to confusion). Though the music proceeds in retrograde, there is no crab canon in the FMI.
was almost certainly the Swiss music critic and musicologist Willi Schuh, found the film problematic: 39

The film scene, which Berg included in the peripateia of the drama, poses a nearly insoluble problem: even if the design of the film had been less naturalistic and more in line with the composer's instructions, it would appear to be a foreign body unnecessary both in terms of dramatic development and symbolic interpretation. Nevertheless, we must particularly emphasize the pure and strong effect that emanates from the rendition of the fragments of the third act. 40

Schuh's remarks about the FMI suggest that not all of Berg's intentions were followed during the FMI at the premiere. Berg gave explicitly detailed instructions for how the film is to be designed and what was to be shown in the score and the Film Music Scenario (the latter contains both a chart of paired events designated to certain measures of the FMI as well as a description by Berg of how the film and music are to work together; see Figure 2.1). Despite Berg’s intention to have the film serve as an important part of the development of the unfolding drama, Schuh found that it was not possible for the film to serve this function.

The anonymous author of the review in The Times (London) criticized both the opera's spoken dialogue and, more specifically than Schuh, the film at its premiere:

39 Schuh earned his Ph.D. in musicology from the University of Berne in 1927. His dissertation "Formprobleme bei Heinrich Schütz" was published one year later in Leipzig. Schuh became a music critic for the Neue Zürcher Zeitung in 1928. He served as music editor for the newspaper from 1944 to 1965. Schuh is also known for being Richard Strauss's personally chosen biographer and for several biographical monographs and essays about Strauss, Richard Wagner, and the Swiss composer Othmar Schoeck. Jürg Stenzl, “Willi Schuh,” The New Grove Dictionary of Music and Musicians 16, ed. Stanley Sadie (London: Macmillan Publishers Limited, 1980), 815-16. In this entry Stenzl wrote “Schuh’s work as a music critic for the Neue Zürcher Zeitung was of great importance to Swiss musical life. . . . He gave his own stamp to opera and concert criticism. His carefully prepared reviews are of permanent value for their emphasis on the thorough analysis and evaluation of the work performed, particularly in the case of new and rare works.”

An episodic, almost scrappy, effect is produced by the frequent use of spoken dialogue, sometimes quite unaccompanied, and by the introduction of a film (depicting Lulu's trial and imprisonment for murder), which, being silent and of local manufacture, is bound to have a rather absurd and old-fashioned look.41

This criticism is directed at the silent film itself, the function of the film, and the production company (Tempo) that made the film for the premiere. Tempo was a small Zurich firm that produced both opera and advertising films. The critic implies that the film was not up to current standards: this little company could not possibly compete with the current standards of any of the well known film production companies (for instance, the Nero-Film Gesellschaft [or Nero-Tobis Films] and UFA [Universum Film Aktiengesellschaft]). The episodic nature of the film might reveal that the film was not successful at presenting events included in Berg's Film Music Scenario. The harshest criticism of the film at the premiere offers the most vivid impression of it. In the American music periodical Modern Music, Kurt List's review accounted for both the performance's and the film's failure:

The coarse naturalism on the stage, the too literal action of the performers in the movie written by Berg for the middle of the drama, acted as in the primitive beginnings of the silent film, fell completely out of the frame, and destroyed the meaning of the work.42

That List placed blame on the acting both in the opera and the film and rather than on the film's camerawork reveals a good deal about what might have happened during the filming of the events taking place in the FMI. The performers of the opera, who acted in the film as well, were opera singers and not film actors. They would not have known much about film acting: about maintaining constancy of size (many amateur film actors did not realize that if they placed a hand only a small distance in front of a face then strangely the hand would appear larger) or about presenting facial expressions or pantomime in front of the camera. The actors probably did not realize that they had a limited space to work in front of the camera.


Conclusions

The FMI at the premiere received more positive and neutral reviews than negative ones. From the excerpts discussed in this chapter, it seems that any discussion of the FMI’s music revealed what stance the critic took regarding the FMI: only half of the neutral reviews have any mention of the music. It also appears that the film content, the presentation of events in the film, the function of the film within the opera, and the film music were more likely to be discussed together by those critics who wrote the positive reviews than those who wrote negative or neutral reviews. The authors of the positive reviews substantiated their comments about the FMI more often than the authors of negative reviews. Though the film content and function are more accessible to readers with little or no knowledge about music, many critics wrote about the music that accompanied the film (either by mentioning the symmetrical musical structure, describing a few details about the instrumentation and expression, or making laudatory or critical comments about the music's ability to get the listener's attention). Critics who wrote for general interest periodicals were just as likely to write about the music as those writing for music periodicals, which is not surprising considering that many of the general periodicals mentioned in this chapter feature well known sections on music and arts.

The acting in the opera and the impression made by the film were also discussed in both the positive and negative reviews of the FMI at its premiere. Milhaud, in his positive review in Marianne, and List, in his negative review in Modern Music, both criticized the acting in the opera: Milhaud, referring generally to the forced interplay of the actors in the opera, referred indirectly to the acting in the film as well; List referred specifically to the literal action of the performers in the film. The quality of the film was also criticized in both positive and negative reviews. P. Stf. (i.e., Paul Stefan), in his review for Die Stunde, revealed his attitude about the film when he explained that the film did not diminish the power of the second act. Both Gysi and Lh. in their positive reviews in Allgemeine Musikzeitung and Volksrecht respectively, were impressed by the film but noticed its fragmentary character. Both critics seemed pleased with how the film worked in the
opera. In Schuh’s negative review in *Neue Zürcher Zeitung*, the author criticized the film’s fragmentary character and mentioned its absurd and old-fashioned look. In List’s negative review, he criticized another aspect of the film’s fragmentary quality: its camerawork. The four extant stills from the film (See Pictures 2.1-2.4) imply acting that does indeed appear somewhat melodramatic; of course, they do not show whether or not the action fell out of the frame, or reveal whether or not the camerawork produced the film’s fragmentary quality.
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VII. Internet and Online Sources


VIII. Recordings and Scores


APPENDIX A

PERMISSION LETTERS: UNIVERSAL EDITION

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Gesendet: Dienstag, 02. April 2002 19:13
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Betreff: Re: Request for Permission

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--Melissa Goldsmith
email: mgoldse@lsu.edu

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25 March 2002

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mm. 652-658; 666-667; 670-671; 674-676; 680-681; 685-690; and 719-721 (between ii.1 and ii.2 of the opera score)

and mm. 685-687 (between ii.1 and ii.2 of the vocal score)

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Fax: (225) 388-2562
Email: mgolde2@lsu.edu

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APPENDIX B

PERMISSION LETTER: ZURICH STADTARCHIV

"Lulu" Photographs

Memo

From: annapia.maissen@star.stzh.ch on 01/29/2002 02:48 PM CET
Sent by: annapia.maissen@star.stzh.ch
To: mgolds2@lsu.edu
cc:
Subject: "Lulu" Photographs
Dear Ms Goldsmith,

The City Archives of Zurich hereby grant you the permission to reproduce five photographs stills from the film used at the premiere of Alban Berg's opera "Lulu" on June 2, 1937 for your dissertation at Louisiana State University. The photographs should be accompanied by the remark "Stadtarchiv Zürich." The copyright of the photographer and filmmaker as an author however will remain protected.

Kind regards,
A.P. Maissen

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160
31 December 2001

Stadtaechiv Zürich  
Neumarkt 4  
CH-8001 Zürich  
Attn: Dr Anna Pia Maisen  
Fax: 01 266 86 49

Dear Dr Maisen,

As a candidate for the Ph.D. degree in musicology at Louisiana State University, I am completing work on my dissertation "Alban Berg's Filmic Music: Intentions and Extensions of the Film Music Interlude in the Opera Lulu." I am requesting your permission to reproduce the five photographs of stills from the film used at the premiere of Alban Berg's Lulu that you have kindly sent to me as photocopies. My dissertation will not be a published document, though University Microfilms International (UMI, Bell & Howell Information and Learning) will supply single copies on demand, as it does for most dissertations completed at American universities.

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APPENDIX C

PERMISSION LETTERS: BODY MISSING WEB PAGES

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From: Melissa Ursul D Goldsmith on 04/05/2002 09:49 AM
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From: Michael Century <mcentury@music.mcgill.ca> on 04/05/2002 07:23 AM EST
Sent by: Michael Century <mcentury@music.mcgill.ca>
To: vera frenkel <vfrenkel@yorku.ca>, "Melissa Ursul D Goldsmith"
<mgold2@lsl.edu>
Cc:

Subject: Re: Request for Permission

nice going, vera, you're filling up shelves in the groves of academe. . .

very nice to me that a scholar would appreciate the sharpness (pointedness?) of my intervention in your process. of course, it should be clear that i composed nothing, only arranged the film music sequence, though looking back i think my main invention was that of thinking of the place it occupied in the character's life

all the best,

At 9:13 PM -0500 4/3/02, vera frenkel wrote:

>Dear Melissa Goldsmith,
>
>Thank you for writing. I appreciate your request and understand the
>pressure you are under, but as it happens I am not always here and
>have only just received your messages.
>
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>copies of the relevant parts of your text which refer to these,
>together with either the images or URL's for the pages you've chosen
>from my work. These can be sent by email or by post to Studio 1 -
>692 St. Clair Avenue, Toronto, Ontario M6H 3X1, Canada.
>
> I am also sending a copy of this note to Michael Century, the
>composer of the Albam Berg film music, whose work is of particular
>interest to you. Michael very generously contributed this delightful
>reconstruction to the Body Missing project but may have special
>requirements regarding description and copyright when it comes to
>citation in a research context.
>
> I wish you all the best in your very interesting work, and hope it
>will be a book one day.
>
>Yours sincerely,
>Verena Frenkel

>>> Please reply to my message. The deadline for submitting my dissertation is
>>> quickly approaching
>>>--Melissa Goldsmith

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162
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>> From: Melissa Ursul D. Goldsmith on 03/25/2002 01:27 PM
>> To: vfrankel@yorku.ca
>> cc:
>> Subject: Request for Permission
>>
>> 25 March 2002
>>
>>
>> Professor Vera Frenkel
>> York University
>> 4700 Keele Street
>> Toronto, Ontario
>> Canada, M3J 1P3
>> Phone: (416) 736-2100
>> Email: vfrankel@yorku.ca
>>
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>> Louisiana State University
>> Baton Rouge, LA 70803
>> Phone: (225) 761-8471
>> Fax: (225) 388-2562
>> Email: mgoldsm2@lsu.edu
>>
>>
>> e-mail: vfrankel@sympatico.ca
>> website: http://www.yorku.ca/BodyMissing
>>
>> Recent work -
>>
>> Published text:
>> "A Kind of Listening",
>> In: Penser l’indiscipline: Interdisciplinary Practices in Contemporary Art

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> Efra Lynn Hughes & Marie-Josee Lafortune,
> OPTICA, Montreal, 2002
>
> > Presentation and screening:
> > "Media, Memory, Metaphor: Addiction to Testimony"
> > World Wide Video & New Media Festival, Amsterdam, 2001
> >
> > Solo exhibitions:
> > Georg Kargl Gallery, (until January 12, 2002)
> > Schleifmühlgasse 5, A-1040 Wien, Austria
> >
> > Canadian Cultural Centre (February - March, 2001)
> > 5, rue de Constantine, 75007 Paris, France
>>
> > Posted text:
> > "A Narrative of Absence and Return"
> > Inaugural issue of Zerauren/Cesures/Incisions
> > at http://www.zerauren.de
>>
> > Group show:
> > "This is Your Messiah Speaking" in
> > HEAD START,
> > Campo Santa Marina, Venice Biennale, 2001
> >
> > Work in progress:
> > "The Institute: Or, What We Do for Love"
> > Poly-serial web-video narrative on bureaucratic madness
> > featuring the travails of a large, dysfunctional,
> > cultural organization.
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cc:
Subject: Re: Request for permission

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> Internet Movie Database (IMDb.com)
> Email: col@imdb.com
>
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> Melissa Goldsmith
> School of Music
> Louisiana State University
> Baton Rouge, LA 70803
> Phone: (225) 765-8471
> Fax: (225) 388-2562
> Email: mgolds2@lsu.edu

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To: Melissa Ursul D. Goldsmith <mgoldsi@lsu.edu>
Subject: Re: Request for Permission

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that should be fine with us. If you need a copy of the article, when it appeared in the paper, please tell me, we can provide that too.

Good luck,

Anja Limp&oelig;rv (webmaster)

> From: "Melissa Ursul D. Goldsmith" <mgoldsi2@lsu.edu>
> Date: Mon, 25 Mar 2002 14:00:23 -0600
> To: webmaster@aufbauonline.com
> Subject: Request for Permission
> > 25 March 2002
> >
> > Web Master
> > AUFBAU Online
> > Email: webmaster@aufbauonline.com
> >
> >
> > Dear Madam or Sir,
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> > I am a doctoral candidate in musicology at Louisiana State University. My dissertation will not be a published document, though University Microfilms International (UMI, Bell & Howell Information and Learning) will supply single copies on demand, as it does for most dissertations completed at American universities.
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> >
> > Melissa Goldsmith
> > School of Music
> > Louisiana State University
> > Baton Rouge, LA 70803
> > Phone: (225) 765-2473
> > Fax: (225) 765-2562
> > Email: mgoldsi2@lsu.edu
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APPENDIX F

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Memo

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Sent by: Margaret Walsh <mawalsh1@facstaff.wisc.edu>
To: mgold2@loc.edu
cc: ldmurray@students.wisc.edu
Subject: permission

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168
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From: Melissa Ursal D Goldsmith on 04/05/2002 04:51 PST
To: ngold2@wisc.edu
Subject: Re: Request for permission

From: Kirt Murray <kdmurray@facstaff.wisc.edu> on 03/25/2002 02:00 PM
Sent by: Kirt Murray <kdmurray@facstaff.wisc.edu>
To: *Melissa Ursal D Goldsmith* <nogold2@bus.wisc.edu>
Cc: Margaret Walsh <mawalsh@facstaff.wisc.edu>
Subject: Re: Request for permission

Melissa,

In replying to you I am also forwarding your email to our rights
guru, Margaret Walsh, who will answer your question with her usual
speed.

Kirt

>25 March 2002

> >

> >Kirt Murray
> >Advertising and website manager
> >University of Wisconsin Press
> >Email: kdmurray@facstaff.wisc.edu
> >
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> >
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> >Extensions of the Film Music Intertitle in the Opera "Lulu," I request
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>International (UMI, Bell & Howell Information and Learning) will supply
>single copies on demand, as it does for most dissertations completed at
>American universities.
>>
>Thank you for your cooperation.
>>
>Sincerely,
>
>Melissa Goldsmith
>School of Music
>Louisiana State University
>Baton Rouge, LA 70803
>Phone: (225) 765-8471
>Fax: (225) 388-2562
>Email: nogold2@bus.wisc.edu

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Kirt Murray
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APPENDIX G

REPRODUCED WEB PAGES: BODY MISSING

The Piano Players

From time to time a new piano player arrives. It's not so simple. There's a long history to contend with. The Transit Bar regulars remember in detail everyone who has played for more than one night.

There are piano player stories, told at the bar whenever certain artists gather. Some of the stories change as they're told, but here's what we know:-
Miguel Siglo, one of the most brilliant Transit Bar pianists, arrived one night with a suitcase and no personal history. Or so he said. It took us nearly half a year after he'd left to realize who he was. Last week a letter arrived addressed to the bartender, and we learned a couple of things including his stint as bandleader and arranger at the Tropicana nightclub in Havana, Cuba...

Dan Anderson is the pianoplayer who works at the Transit Bar in Stockholm. People are always asking him why he wraps his hair ...

Daniel appeared out of nowhere in an oversized brown suit, a pair of dead man's shoes and a funny grey hat, carrying an old suitcase which he claimed to be "full of possibilities." Occasionally he'd sit down at the piano, and though he didn't really know how to play, he'd approach it in the same way as the toy piano he carried in his suitcase - he'd just start in at it and keep going for a while. One day he left without saying good-bye, and he never came back. Lately Daniel has been sighted in various cities, playing for free on the street corner, wearing one of a number of different hats.

Just before the first Transit Bar opened in Kassel, as we were installing the drink rails, Luigi walked in. He was too good looking, we figured, ever to have done much else in life except smile, but he pulled the dusty drop cloths off the piano and began to play. We forgave him his beauty.

One fairly crazy season (the year Sonja left with Toots and Jeremy, taking the baby) there were two guys named Peter, one behind the bar and one at the piano. Piano-Peter was quiet. He'd turn up a minute or two before the first set of the evening, put on his bomber jacket and tutu, and then, no matter what was going on around him, you could tell that once he began to play, Peter and the piano became one being. If someone requested a tune, say one of Vera's tangos, or one of Daniel's themes, he'd just gaze at that person and maybe shrug. Women who like enigmatic men found him charming, and there'd always be someone around the piano whenever it was Peter's night. But it isn't as if he was trying...
The Letter

Vancouver, March 20, 1996

Dear Basti,

Met someone at the conservatory last week who claimed to know Miguel. He sent me some information the next day by courier. I’m sending the photographs separately, but, though I haven’t been able to check his sources, here’s the text as he sent it:

Documents just recovered after the lifting of the siege around Sarajevo provide new clues about the formerly mysterious early years of Miguel Siglo. Manuscripts of juvenile piano compositions, notebooks, programs from classical musical concerts, concert ticket stubs, have been found in the attic of one of the last Jewish residents of the nearly destroyed city. Siglo is finally identified as the member of a Sephardic family resident in the Sarajevo area since the expulsion of the Jews from Spain in 1492.

Among the recovered works in the Siglo family’s effects is a closely annotated copy of the monograph "Chansons Judeo-Espagnols: 1200-1650", by Haim Vital Sephiha. Siglo’s much older half-brother, Sephiha’s book was accepted as a dissertation at the Sorbonne in the early 1930’s, and was the first to document the influences of Moorish and Arabic poetry and music on the Jewish culture of Central-Eastern Europe. The annotated book is inscribed to Miguel, from the author.

Previously nothing was known of Siglo’s childhood, till his enrollment at the Vienna Conservatory in 1937. No records exist of his war-time years, nothing definite until 1949, when Siglo surfaces as a bandleader and arranger at the Tropicana nightclub in Havana, Cuba. Siglo is rumoured to have been associated with the notorious Goebbels Gang, a jazz orchestra composed of Jewish, black and other non-Aryan musicians employed by the Nazi propaganda ministry to broadcast ‘degenerate’ music to Allied troops. Eddie Rickenbacker, leader of the Goebbels Gang between 1943-44 recalls a sensational young pianist who went by the name Michael Sokolov, or sometimes, Socolo. Sokolov was once recorded playing an unusually spicy blend of Arabic and Moroccan tinged jazz, though the music is barely audible over the sound of air raid sirens and bomb explosions.

So that’s the story so far. We should have guessed that there was something special about our Miguel. More when I find it. Hope the customers are keeping you happy.

Much Love,

Jenny
The File

Ottawa, May 1, 1996
(from the Siglo Archives)

Miguel Siglo, who assisted the composer as copyist in the year of Berg's death (1936), also worked on the film projection which accompanied the first performance of the still incomplete opera at Zurich in 1937.

About this performance, Reich, Berg's confidant and biographer, wrote:

"... it was clear that the ostinato runs too quickly to permit a clearly comprehensible film sequence. It is now generally replaced by projected still images."

Reich's authoritative judgment has prevailed to this day, but perhaps should be reconsidered now based on materials found in the rubble of Siglo's family home in Sarajevo, destroyed during Serbian shelling in 1995.

There we find that Reich detested the young Siglo, and used his influence as a prominent Vienna critic to have Siglo fired from the job after the opening night. Siglo was not only devastated by the blow, he also appears to have become temporarily deranged.
Of the materials which we have kept here, only the first half of the sequence is reconstructed; it plays until the exact midpoint of the sequence, which coincides in the film scenario with Lulu's imprisonment. At the top of a piano arpeggio, the still point of the entire work, Siglo's work breaks off, shattered, as it were, by the beginning of time's reversal.
A Weltbühne Martyr

By Kurt Singer

In the last issue of Aufbau (July 27th), there appeared an excellent review of the latest biography of Siegfried Jacobson, the founder and owner of the famous Weltbühne magazine. The book review ends with the death of Jacobson in December 1926. For the reader, it remains a cliffhanger. What happened to the Weltbühne after Jacobson’s death? It continued publication under the editorship of Carl von Ossietzky with contributors like Kurt Tucholsky, Erich Kästner and many other left-wing intellectual liberals.

In 1932, Ossietzky was arrested and put on trial for high treason. He had infuriated the military High Command of the Weimar Republic with his articles about Germany’s secret and illegal weapon deposits inside the Soviet Union. His imprisonment was short-lived because the Nazis had grown strong enough to obtain a political amnesty to free their Nazi followers before Christmas. Carl von Ossietzky was also freed and returned to the Weltbühne office.

Not quite two months later, Hitler and his murderous gang had conquered Germany’s democracy. The Weltbühne was in danger of closing and the Jacobson family was threatened. Ossietzky had the choice of leaving the country, but he refused to abandon the ship. Like a ship’s captain, he stayed till the end. The Weltbühne was closed, Ossietzky arrested and, without a trial, he was sent to the nearest concentration camp.

In 1936, the Weltbühne editor was a “Moorsoldat” in the Esterwegen Concentration camp near Oldenburg. He was very ill, weakened by recently-acquired tuberculosis. The Gestapo finally released Ossietzky a few weeks before he received the 1936 Nobel Peace Prize. He died in 1938.

The war ended. Germany was divided into East and West. The Weltbühne seemed to be forgotten. In Berlin and the rest of West Germany, no one was interested in reviving the left-wing magazine. There were many more pressing economic problems to be solved.

It seemed hopeless until Ossietzky’s wife, Maud started to negotiate with the DDR in East Berlin. The pro-Soviet government was willing not only to grant an asylum to the Weltbühne, but also to finance a new version of the old Wochenchrift.

Some time after the death of Maud, Ossietzky’s daughter Rosalinde asked me to accompany her to East Berlin and visit the editors of the new Weltbühne. It was a memorable trip in 1982. We took the U-Bahn and the S-Bahn from West Berlin’s Zoo station to East Berlin. It took us hours to pass through the passport control and another hour to find a Trabi taxi.

Finally, we reached the very impressive new House of the Journalists. We met the editors of the new Weltbühne and its political chief executive, a member of the Central Committee of the Communist Party. A kind and friendly man, he could not help asking me “Why is the USA so opposed to the DDR’s Government?” My answer was simple and quick: “On account of the wall.” I received a very temperamental answer: “Die Mauer kommt nie runter.” The wall will never come down.

Afterwards, we discussed many things. He admitted that there were great problems in the DDR. Publishing took too much time, was too slow. The House of the Journalists was modern, had everything needed to serve the domestic and foreign press, and also boasted an excellent restaurant where Rosalinde and I were treated to an outstanding lunch. Then we were invited to the editor’s home for supper. In his car – Russian-made – he drove us around East Berlin for sightseeing. We saw the collection point from which helpless Jews had been sent to concentration camps to die. We also saw many dilapidated houses and coffee shops filled with young people.

After the wall came down, I received a letter from the editors of the Weltbühne asking if I could find the financing to publish the Zeitschrift in newly-united Germany. Respectfully, I declined.

Suddenly there were legal issues to be solved. The Jacobson family, which still owned the Weltbühne and its name, refused to give permission to the former DDR editors. There was a court case, protests, anger, but after several years of quarreling, the DDR Weltbühne was revived under the name Ossietzky.

Rosalinde von Ossietzky gave her blessing and new editors took over under the leadership of Eckart Spoo, an author and journalist known for his work on the life of Kienas, the etiquette expert. With Spoo as co-editors and contributors are Professor Dr. Arno Klosterne, Dr. Rudolf Groesser, Otto Koehler, Professor Dr. Reinhard Kochnel.

The Ossietzky is a bi-monthly that fights for human rights, exposes neo-Nazism, even in the new German military forces, fights race hatred and immigration hysteria. It opposed the NATO war in Kosovo when the Soviet Union also occupied parts of Yugoslavia. No doubt they are close to the SPD, the German Socialist Party. They try to put the DDR behind them and work toward an evolution similar to the SAP, the earlier Socialist Party which produced the stalwart Willy Brandt. They try to keep Carl von Ossietzky’s legacy alive. He was, after all, the martyr and heroic editor of Jacobson’s Weltbühne.

Ossietzky is located at the House for Democracy und Menschenrechte, Greifswalder Strasse 4, 10405 Berlin.
APPENDIX I

REPRODUCED WEB PAGE: UNIVERSITY OF WISCONSIN PRESS

Film Essays and Criticism
Rudolf Arnheim
Translated by Brenda Bethlem
Wisconsin Studies in Film

"Some of the most distinguished film criticism ever written."—Eric Rentschler, University of California, Irvine

One of the world's leading film theorists, Rudolf Arnheim has been well known to readers of English since the publication of his classic Film as Art in 1957. This is the first English translation of another of his important books, Kritiken und Aufsätze zum Film, which collects both film reviews and theoretical essays, most of them written between 1925 and 1940.

As a young man in 1920s Berlin, Arnheim began writing about film for the satirical magazine Das Stachelschwein. In 1929, as the Weimar Republic began to crumble, he joined the intellectual weekly Die Weltbühne as film critic and assistant editor for cultural affairs. His most important contributions to both magazines are published here, including witty and incisive comments on many of the great classics of the silent and early sound period, such as Buster Keaton's The General and Fritz Lang's Metropolis. With the advent of Nazism in Germany, Arnheim emigrated first to Italy, where he wrote essays (many included here) for a nascent Enciclopedia del Cinema, and then to England and the United States.

The thirty essays on film theory discuss elements of theory and technique, early sound film, production, style and content, and the relationship of film and the state. The fifty-six critical pieces include Arnheim's thoughts on the practice of film criticism, his reviews of German, American, French, and Soviet films, and his profiles of Greta Garbo, Charlie Chaplin, Felix Bressart, Erich von Stroheim, and others. Also included in the volume are an introduction (newly revised by Arnheim) and a comprehensive bibliography.

Rudolf Arnheim is the author of Film as Art, Art and Visual Perception, Visual Thinking, and many other books. He is professor emeritus in the College of Literature, Science, and the Arts at the University of Michigan. After moving to the United States in 1940, he also held professorships at Sarah Lawrence College, the New School for Social Research, and Harvard University. Brenda Bethlem, an independent film scholar and critic, lives in Ann Arbor, Michigan. Her work has appeared in Variety, Films and Filming, the Berlin Film Festival Journal, and other publications.

April 1977
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VITA

Melissa Ursula Dawn Goldsmith was born in Santa Monica, California, where as a child she phoned Edith Head by accident, conversed with Vincent Price, Roald Dahl, and Patricia Neal at Woolworth’s, exchanged smiles with Gloria Swanson on street corners, and listened to Arnold Schoenberg’s music played on a carillon at the University of California, Los Angeles. During those same years she took her first music and dance lessons, both of which she continued at school and at the Girls’ Club after moving to Santa Barbara in 1980.

In 1987 Melissa took her first college courses at the University of California, Santa Barbara. In 1989 she graduated from Dos Pueblos High School in Goleta, California. She then attended Smith College, earning the bachelor of arts degree in music and biochemistry in 1993 and the master of arts degree in music in 1995. There she was a teaching fellow for the music department and a graduate assistant at the Werner Josten Music Library. Her master’s thesis, “Adorno on Strauss, Mahler, and Berg,” was supervised by Professor John Sessions.

Melissa entered the doctoral program in musicology in the School of Music at Louisiana State University (L.S.U.) in 1995. From 1995 to 1999 she worked as a graduate teaching assistant in music history. She was also a graduate assistant at the Carter Center for Music Resources in Middleton Library, where she presented displays on various topics including the L.S.U. Festival of Contemporary Music, the International Alliance of Women in Music (I.A.W.M), and the Pulitzer Prize in Music and maintained the Sheet Music Database. In 1999 she earned the master of library and information science degree. In 1999 and 2000 she presented papers at annual meetings of the American Musicological Society-Southern Chapter. Her academic interests are film music, music aesthetics, American vernacular music, and music librarianship. Her other interests are embroidery, gardening, tap dancing, and playing recorder. Melissa plans to teach music courses at a college or university while working as a liaison to the music library.